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ABSTRACT

The purposes of the study were to identify disincentives to effective employee training and development in government agencies and to recommend means of offsetting them. The three stages of the study were (1) an initial search for information including a survey of employee development specialists, a literature search, a review of the findings of a special study on utilization and productivity, and a review of the previous "Decision to Train" study, (2) development of working hypotheses as they applied to executives, managers and supervisors, employee development specialists (EDS), and employees, and (3) indepth studies to test the hypotheses. A budget study showed that little long-range planning for training and development is carried out at top levels. Disincentives to training occur as a result of personnel ceiling reductions and restrictions on travel. A study was made of the role of employee development specialists. Indepth case studies were carried out in three Federal agencies representing varied missions, organizational structures, sizes, and grade levels and occupations, by questionnaire and interview. It was found that supervisors and managers train and develop employees unsystematically and mostly for short-term objectives. (MS)

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Disincentives to Effective Employee Training and Development

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DISINCENTIVES TO EFFECTIVE EMPLOYEE TRAINING AND DEVELOPMENT

A

Research Project

For

THE UTILIZATION COMMITTEE

U.S. CIVIL SERVICE COMMISSION

Prepared

By

RUTH D. SALINGER

TRAINING MANAGEMENT DIVISION

BUREAU OF TRAINING

U.S. CIVIL SERVICE COMMISSION

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Note: This report is divided into five sections for the convenience of the reader. Depending on interest and need, the reader can look at only the summary (Section I), the actions (Section II), and the conclusions (Section IV). Or a person can delve into the study methodology in greater depth (Section III), including, if desired, the back-up materials in the appendices (Section V). Sections III and V are included in the report particularly to encourage others doing research in the training and development field not only to continue their efforts but also to share their findings.

TABLE OF CONTENTS

		Page
I.	Summary	1
II.	Actions	15
III.	The Study	28
IV.	Conclusions	63
V.	Appendices	66

I. SUMMARY

INTRODUCTION

The study of the proper utilization of employees through effective training and development was the charge of the Civil Service Commission Utilization Committee, Project #2, known as U-2. The Bureau of Training, Civil Service Commission, had the lead for this project. Specifically, the two purposes of the U-2 study were to identify disincentives to effective employee training and development and to seek and recommend means of offsetting identified disincentives, including basic structure and system changes if practical. We were looking, in other words, at situations which act as impediments to effective training and development, situations common to all Government agencies rather than unique to any one of them, and situations for which reasonable solutions could be proposed. Thus, while personal characteristics of those concerned may contribute to ineffective employee training, this problem

did not fall within the province of the study. On the other hand, we did not limit our focus to training systems and structures but included other areas of management, such as manpower planning systems and budgeting.

METHODOLOGY AND FINDINGS

The disincentives study was carried out in three stages: an initial search for information; development of working hypotheses derived from this data; and in-depth studies to test the hypotheses.

INITIAL SEARCH

The preliminary search for information on training disincentives enabled us to get a handle on the problem and provided us with a rationale for developing both the hypotheses and the more refined research techniques required to test them. This first look took four directions: a survey of employee development specialists; a literature search; a review of the findings of a special study on utilization and productivity, done by the Bureau of Personnel Management Evaluation, Civil Service Commission; and a review of the "Decision to Train" study previously carried out by the Bureau of Training. The information obtained from all sources uncovered patterns of problems and interrelated factors influencing the effectiveness of agency training and development efforts.

HYPOTHESES

The hypotheses derived from these preliminary research efforts were organized into four categories as they applied to executives, managers and supervisors, employee development specialists, and employees. Each category contained a general problem statement and was followed by several more specific statements which could actually be tested. If the specific hypotheses were for the most part supported, that was taken as support for the general hypothesis.

EXECUTIVES

General Hypothesis

Executives often do not systematically consider and include training and development in their long-range planning process.

Specific Hypotheses

Little planning for training and development is indicated in agency financial plans at the executive level.

Executives often do not consider future training and development requirements in the context of a manpower planning system.

MANAGERS AND SUPERVISORS

General Hypothesis

Managers and supervisors often do not systematically consider and include training and development in carrying out their respective roles.

Specific Hypotheses

Reductions in training and development occur as a result of budget reductions; and training and development programs are reduced disproportionately to other programs.

With personnel ceiling reductions, attendance at training is reduced.

Managers and supervisors have infrequent contact with employee development specialists in solving training-related problems.

EMPLOYEE DEVELOPMENT SPECIALISTS

General Hypothesis

Employee development specialists lack organizational job knowledge and the skills required to obtain knowledge.

Specific Hypotheses

Employee development specialists have infrequent contact with managers and supervisors.

Employee development specialists have little knowledge of job analysis techniques and other problem analysis methods.

Employee development specialists spend most of their time on the administration of training and comparatively little on consulting.

EMPLOYEES

General Hypothesis

Employees often do not receive effective training and development.

Specific Hypotheses

Employees are infrequently consulted by supervisors concerning their short- and long-range training and development plans.

Employees doubt that their agencies are committed to the planning of their individual training and development programs.

Employees infrequently believe that they are receiving the training and development needed to do their present job properly.

Employees infrequently believe that they are receiving the training and development needed to help realize their potential.

TESTING THE HYPOTHESES

In order to gather data which would provide tests of our hypotheses, we pursued three main avenues of investigation: a budget study, an employee development specialist role study, and in-depth case studies of several Federal agencies.

Budget Study

We contracted for a study on "Federal Budgeting Practices as They Relate to the Training of Civilian Employees." The study was particularly concerned with these four areas:

a. The attention given to training during top management deliberation on agency or bureau budgets.

b. The formal process for including training requirements in budget preparations.

c. The extent to which long-range training plans are reflected in budget submissions.

d. The effect on training budgets of reductions of agency funds that require reprogramming within fiscal years.

Information was collected from nine departments, two agencies and sixteen subordinate elements within four of the departments and

agencies. The contractor relied primarily on personal interviews with training and budget personnel, with a questionnaire used as a guide in the discussions.

The budget study showed that little long-range planning for training and development is carried out at the top levels of an agency. Disincentives to training occur particularly as a result of personnel ceiling reductions and restrictions on travel. On the other hand, while training and development plans are often not a part of budget considerations, training and development programs are not necessarily reduced disproportionately to other programs when budget cuts are imposed.

Employee Development Specialist Role Study

Since we were proposing that the employee development specialist (EDS) was not fulfilling his role, and indeed was not able to do so, we more thoroughly investigated this question through a literature search. The research addressed itself to three main questions:

a. What is the current role of the employee development specialist?

b. What is the proper role of the employee development specialist?

c. What are the current views on the desirable educational and experiential backgrounds of the employee development specialist?

It should be noted that when we refer to the roles of the EDS in the discussion below, we are not implying that one person should necessarily

be performing all the roles, but rather that all the roles are the responsibility of an agency's training office.

The literature review of the role of the employee development specialist (EDS) showed that trainers and managers agree that the EDS should properly be playing three roles: consultant, administrator, and learning specialist. There is disagreement, however, between EDS's and managers on the current role of the EDS. Trainers feel that they are now performing as they think they should, primarily as consultants and administrators, while managers feel that trainers are currently spending much more time as administrators and less as consultants than deemed appropriate. The literature also reveals that trainers have degrees primarily in the fields of education, business, and public administration. These concentrations seem appropriate for the administrative and learning specialist roles. It would seem, however, that such concentrations, as with many other academic disciplines, do not currently prepare the EDS for the adequate performance of the consultant role. Finally, there is little definitive information, as indicated by this literature search, about the on-the-job experiences appropriate to the development of competent EDS's.

Case Studies

We carried out in-depth case studies of three Federal agencies in order to thoroughly cover the problem areas we had identified and test the hypotheses we had developed. The three agencies selected represented varied missions, organizational structures, sizes, and grade levels and occupations.

In order to collect data from all levels in the organizations, we identified several vertical slices, each of which consisted of a major unit of the agency, one or more subordinate groups under it, several units under each of those, and so forth, until, when we arrived at the first level supervisor slot, we included all the employees under it as part of the slice.

Instruments for Data Collection

Two data collection methods were used in the case studies--questionnaires and interviews. The questionnaires were concerned with individuals' perceptions of and reactions to their actual experiences with training. The questionnaire results focused our attention on those impediments to training which had overriding impact. We were then able through interviews to look behind these counterproductive practices and find the reasons for organizational behavior which impeded effective training and development.

Results

Some of the particularly important findings from the case studies are these:

- Managers, supervisors, and trainers agree that commitment to training must start at the top of the organization and be communicated downward.

- Currently top management emphasis is usually on achieving production goals, with training and development seen as an interruption of progress toward achieving those goals.

- Little planning for training and development occurs from top agency levels on down.

- For managers and supervisors, as well as top management, the contribution of training to increasing productivity is frequently unclear.

- Employee development specialists have minimal contact with others in the organization, providing next to nothing in the way of consulting services to top management, managers and supervisors, and individual employees. And their background, both educational and experiential, does not prepare them to do so.

- External training course announcements are often not sufficiently specific to allow supervisors to make accurate decisions on the usefulness of the course for their employees.

- External training courses tend to be too general or contain irrelevant material for the trainees. Part of the problem may stem from the fact that employees and supervisors infrequently discuss expectations about behavioral changes as a result of the course before the employee attends the course.

- Timely information about training programs is often difficult to obtain from external sources of training.

- Employees are much more negative than supervisors in their perceptions of the usefulness of training for their future development and the usefulness of the counseling they receive on their training plans.

- People in production areas have particular difficulty in getting released from their jobs to participate in training.

Considering the findings from all the U-2 sources of information, we can take note of those hypotheses which were supported by the data and those which were not. Only two hypotheses did not hold up in the

testing process. First, unlike our original expectations, reductions in training and development as a result of budget restrictions do not necessarily occur disproportionately to reductions in other programs. Second, and also in contrast to our initial supposition, employees are actually fairly satisfied with the training and development they receive for improving their present job performance. All other hypotheses were supported by the U-2 research.

D I S I N C E N T I V E S

The following is a summary of the U-2 research findings in the form of disincentives to effective employee training and development. Our analysis leads us to the conclusion that the first six disincentives, as indicated in the description which follows, form an integrated, cause-and-effect system. The chart following the descriptions graphically displays the disincentives process.

1. <u>The benefits of training and development are not clear to top management</u>.

   This is especially a problem because of the lack of methods which currently exist to demonstrate potential benefits to managers. Without means to determine training and development benefits, top management is likely to concentrate its resources in areas where the returns are more evident.

This disincentive has two major effects, which become the next two disincentives on the list.

2. <u>Top management rarely evaluates and rewards managers and supervisors for carrying out effective training and development</u>.

Obviously, if top management is not clear about the benefits of training and development, and is clearer about the outcomes of other organizational efforts, its reward system will reflect such an attitude.

3. Top management rarely plans and budgets systematically for training and development.

   Lacking knowledge about the effects of training and development, and about long-range agency manpower needs, top management is neither likely to nor able to carefully consider training and development in formulating long-range agency plans and budgets.

Disincentives #2 and #3 lead to disincentives #4, #5, and #6.

4. Managers usually do not account for training and development in production planning.

   Without appropriate guidance from top management concerning agency training and development plans and budgets, managers are not able to systematically set aside time and money for the training and development of their employees. If resources were assigned to such a purpose, employees would be more frequently sent to the training and development programs that are planned for them.

5. Supervisors have difficulty meeting production norms with employees in training and development.

   Without the appropriate planning discussed above, supervisors often find that production requirements preclude sending their employees to training and development.

6. Supervisors and managers train and develop employees unsystematically and mostly for short-term objectives.

   Unsystematically because of the lack of planning and mostly for short-term objectives because of the immediate return evident by training and development of this sort.

7. Behavioral objectives of training are often imprecise.

   People attending a training program may expect certain behavioral outcomes from the course, the course instructor may expect a different set of outcomes, the supervisor of the participant another set, and so on.

8. Training programs external to the agency sometimes teach techniques and methods contrary to practices of the participant's organization.

   For example, writing techniques are taught which may not be acceptable to standard agency practices and hence the participant is discouraged from using newly learned skills on returning to the job.

9. Timely information about external training programs is often difficult to obtain.

   The lack of this information makes training and development plans difficult to construct.

10. Agency training and development effectiveness is impaired as a result of statutory restrictions on travel funds.

    When an agency's travel funds are restricted, travel money for training and development is often reduced by the agency, rather than travel money for other ongoing programs.

11. The employee development specialist provides limited counseling and consulting services to the rest of the organization.

    The consultant role is not carried out with top management, with supervisors, or with individual employees. Yet all the information gathered in the U-2 study points to the consultant role as an essential component of the employee development specialist's profession.

THE DISINCENTIVES PROCESS

1. THE BENEFITS OF TRAINING AND DEVELOPMENT ARE NOT CLEAR TO TOP MANAGEMENT

2. TOP MANAGEMENT RARELY EVALUATES AND REWARDS MANAGERS AND SUPERVISORS FOR CARRYING OUT EFFECTIVE TRAINING AND DEVELOPMENT

3. TOP MANAGEMENT RARELY PLANS AND BUDGETS SYSTEMATICALLY FOR TRAINING AND DEVELOPMENT

4. MANAGERS USUALLY DO NOT ACCOUNT FOR TRAINING AND DEVELOPMENT IN PRODUCTION PLANNING

5. SUPERVISORS HAVE DIFFICULTY MEETING PRODUCTION NORMS WITH EMPLOYEES IN TRAINING AND DEVELOPMENT

6. <u>THEREFORE</u>, SUPERVISORS AND MANAGERS TRAIN AND DEVELOP EMPLOYEES UNSYSTEMATICALLY AND MOSTLY FOR SHORT-TERM OBJECTIVES

ADDITIONAL DISINCENTIVES

7. BEHAVIORAL OBJECTIVES OF TRAINING ARE OFTEN IMPRECISE

8. TRAINING PROGRAMS EXTERNAL TO THE AGENCY SOMETIMES TEACH TECHNIQUES AND METHODS CONTRARY TO PRACTICES OF THE PARTICIPANT'S ORGANIZATION

9. TIMELY INFORMATION ABOUT EXTERNAL TRAINING PROGRAMS IS OFTEN DIFFICULT TO OBTAIN

10. AGENCY TRAINING AND DEVELOPMENT EFFECTIVENESS IS IMPAIRED AS A RESULT OF STATUTORY RESTRICTIONS ON TRAVEL FUNDS

11. THE EMPLOYEE DEVELOPMENT SPECIALIST PROVIDES LIMITED COUNSELING AND CONSULTING SERVICES TO THE REST OF THE ORGANIZATION

II. ACTIONS

It is not enough to identify the disincentives to effective training and development and stop there. The second task of the U-2 study was to determine methods of overcoming these disincentives. Since the Civil Service Commission has a major responsibility in the area of effective personnel management, there is much that it can do in this regard, and these efforts are described below.

However, the existence of Civil Service Commission activities to diminish the training disincentives does not relieve individual agencies of their responsibility to take action. For almost every action item discussed below that the Civil Service Commission is undertaking, there is also something that agencies can do on their own initiative. While looking at the Commission's plans, readers should consider what their organization or organizational unit can contribute to the reduction of training disincentives, which, as the study demonstrated, exist throughout the Federal Government. While the study did not collect evidence of disincentives in State and local governments and the private sector, trainers and managers in these areas would be well advised to see if similar ills existing in their organizations might be treated with similar remedies.

Since the first six disincentives form a linked, cause-and-effect system, the greatest impact on the elimination of these impediments will come by starting corrective action at the beginning of the chain.

DISINCENTIVE NUMBER 1

The benefits of training and development are not clear to top management.

Two related actions will be aimed at reducing this disincentive:

1) The Civil Service Commission will continue to support and provide inputs to the ongoing efforts directed toward developing productivity measures. These measures will be used both as a foundation for top level planning and as an evaluative guide for assessing managerial performance.

2) The Commission's Bureau of Training will continue to develop and promote the use of the cost/benefit systems for training and development.

There will never be an active interest in the contributions of training and development to productivity in the absence of any real system for measuring that productivity. To the extent that ongoing efforts produce expanded and viable productivity measurement systems, then we expect:

(a) concomitant growth in the interest of the contribution of training and development to productivity and

(b) increased use and benefit from the training cost/benefit systems presently being developed by the Bureau of Training.

With productivity measures available, executives will then have a real and personal reason for knowing what benefits they are receiving from their agency's training and development. That is, if the contribution of training to productivity exceeds the cost of training, then by training they are going to look better as managers.

If the contribution of training to productivity is less than cost, then training is going to make them look worse as managers. In the absence of any productivity measure executives' interest in the presumed benefits from training may tend to center around questions such as the personal happiness and satisfaction that their employees might or might not gain from the training. At best, their belief in the efficacy of training and development is based on faith rather than hard evidence.

With the approach suggested here, decisions to train can be made as an investment in human capital, and in essentially the same terms as any other capital investment decision. This approach to decisions about training is made feasible for the first time by the development of appropriate measurement devices.

There are several ongoing Governmental efforts concerned with developing productivity measures. The National Commission on Productivity is working largely at the State and local government levels. The Joint Project to Measure and Enhance Productivity in the Federal Government (involving primarily Civil Service Commission, Government Accounting Office, and Office of Management and Budget) has ended its work with the publication of a final summary report. The report recommends the continuation and expansion of productivity improvement activities on a permanent basis throughout Government. The responsibility for carrying out these activities was divided among the Civil Service Commission, Office of Management and Budget, General Services Administration, Bureau of Labor Statistics, and Joint Financial Management Improvement Program.

A major effort toward improving the qualifications of managers through training and development is presently being planned under the guidance of the Commission. The training received in the future by all Federal executives and managers will stress the use of productivity measures and cost/benefit systems as a management planning and evaluation device. The consideration of training as an investment in human captial is a natural consequence of such an orientation.

DISINCENTIVE NUMBER 2

Top management rarely evaluates and rewards managers and supervisors for carrying out effective training and development.

We do not plan to take any direct action for overcoming this disincentive since we believe it will be self-correcting if the recommended actions for overcoming disincentive number one are effective. We considered the possibility of setting up a requirement that managers be evaluated on the basis of whether or not they were carrying out training and development for their employees. But in the absence of any system to measure either the potential benefits of training and development or managerial performance based on objective goals, it is our opinion that this would turn into a numbers game with training done for training's sake alone. There would be no guarantee at all that it would be effective training and development, that the right people would be sent to the right courses, or even for that matter that too much training and development might not be carried out in some cases and still too little in others.

Therefore, we are proposing that managers not be directly evaluated and rewarded on their use of training and development, but rather that they be judged on successfully meeting both short- and long-range organizational goals. Training and development then becomes a consideration to the extent that it affects the achievement of those goals.

DISINCENTIVE NUMBER 3

Top management rarely plans and budgets systematically for training and development.

In order to reduce this disincentive, the Commission will publish examples of and encourage the use of manpower planning systems in planning for training and development. A manpower planning system is any organized process where the future personnel needs of the agency are considered over time. These needs are considered in relation to knowledge about the changing mission, growth, and activity of the agency, the past movement of employees, and the potential for change within the structure of the workforce in terms of future retirements, promotions, recruitments, and training and development. Thus manpower is considered in an integrated and systematic fashion with manpower needs being considered ahead of time and specific plans for meeting projected manpower needs undertaken.

A comprehensive manpower planning program effectively eliminates the third disincentive since it is functionally impossible to have an active manpower planning program without including, as a part of that system, the planning and budgeting for training and development as one method for meeting projected manpower requirements in the future.

There are substantial benefits to be derived out of a manpower planning system aside from the obvious one of having human resources available when they are needed. Included among these benefits is increased employee competence, since needs are anticipated and employees are trained or recruited for jobs ahead of time. The potential exists for more promotion from within since, when future job opportunities arise, employees within the organization who are capable of moving into them have been considered and have received training and development that might be necessary to prepare them. Additionally, a working and realistic career system is more likely to exist under a manpower planning system.

DISINCENTIVE NUMBER 4

Managers usually do not account for training and development in production planning.

At present when managers are scheduling their organization's output, they do not schedule employees during the time when the employees would be taking leave. Managers know that employees have an amount of leave that they are privileged to take and work is not scheduled in dis-

regard of that fact. Unfortunately, many managers do schedule work with little regard for the training and development needs of their employees.

There are at least two methods for reducing this disincentive that agencies could use: (1) budget appropriate amounts of time for training and development activities within their individual work units; and (2) set aside central pools of ceiling slots to be used for long-term training and development assignments. The purpose for using the first method would be to minimize the situations where either training is not accomplished when it is needed, or training is accomplished but at the expense of planned production. The purpose for using the second method would be to avoid saddling individual managers with substantial productivity losses while their people are receiving long-term training and development.

Therefore, with an eye toward alleviating disincentive number four, the Commission will explore the advisability and feasibility of using one or both of these approaches in the various departments and agencies of Government.

DISINCENTIVE NUMBER 5

Supervisors have difficulty meeting production norms with employees in training and development.

Budgeting time for training and development, and using personnel ceiling slots for long-term training and development assignments, will both impact as well on disincentive number five. To further overcome this disincentive, the Bureau of Training will increase its efforts to inform and educate trainers about the nature, use, design and development, and current availability of those training technology resources which help reduce time away from the job by increasing learning efficiency. Examples are programmed instruction, home study courses, individualized learning centers, films, cassettes, games, and simulation techniques.

Another means of limiting time away from the job is to assure that only course material relevant to the needs of the participants is included. To accomplish this, the Bureau of Training will systematically employ the full range of available research methodologies in order to more accurately determine the requirements of the consumers of training. That information will then be used in the design and production of CSC interagency training courses and programs.

To increase the availability of relevant course materials, the Bureau of Training will take a more active role in coordinating the development and, as appropriate, joint financing of specific training materials and programs. This will have the effect of making more Federally-oriented training material available.

DISINCENTIVE NUMBER 6

Supervisors and managers train and develop employees unsystematically and mostly for short term objectives.

This disincentive is the last in the previously identified disincentives chain. If the first five disincentives are alleviated, then the sixth will for the most part disappear.

The U-2 study also found several other disincentives which, while not part of a systematic process, do call for appropriate action for their reduction.

DISINCENTIVE NUMBER 7

Behavioral objectives of training are often imprecise.

To overcome this disincentive, the Bureau of Training will undertake a study to determine the nature of expectations surrounding training and development programs. This study will be limited to Civil Service Commission programs and will consist of a look at the behavioral expectations of participants, of the supervisors of participants, of the course instructor, as well as the behavioral expectations that might be inferred from the course announcement, and the differences between these sets of expectations. We expect the results of this study to tell us

the dimension of the problem, its intensity, and where within the communication chain the locus of misunderstanding exists. From these knowledges can come whatever actions are required to assure that all interested parties know what a particular course is intended to accomplish.

DISINCENTIVE NUMBER 8

Training programs external to the agency sometimes teach techniques and methods contrary to practices of the participant's organization.

For example, participants that we interviewed had been sent to effective writing courses that taught them techniques and methods that were unacceptable to their agency. We talked to secretaries who had been taught to type letters in ways that were specifically prohibited by their organization's correspondence manuals.

We see this as primarily resulting from inadequate performance of the consultative role by the employee development specialist. If they were better performing their consultative role, they would become deeply involved in management and production problems and would be able to provide authoritative advice regarding the pertinence and adequacy of particular external training courses. For a more complete discussion of the EDS's role, see disincentive number eleven, below.

DISINCENTIVE NUMBER 9

Timely information about external training programs is often difficult to obtain.

This problem partly stems from the agency's own internal planning and communication systems. To alleviate the additional difficulty which may arise from the communication between the Civil Service Commission and other agencies, the Bureau of Training will publish the quarterly calendar of Civil Service Commission central office interagency training courses several months in advance of the first course offering in that quarter. This will allow agencies ample opportunity to plan and schedule their own employee training programs.

DISINCENTIVE NUMBER 10

Agency training and development effectiveness is impaired as a result of statutory restrictions on travel funds.

This disincentive will be alleviated as the Bureau of Training makes information available on training technology resources (discussed under disincentive number five, above), to the extent that the use of certain training methodologies reduces the requirements for travel.

DISINCENTIVE NUMBER 11

The employee development specialist provides limited counseling and consulting services to the rest of the organization.

The problem area indicated by this disincentive is of major concern to the Civil Service Commission. The Commission has a clear responsibility to provide the assistance which employee development specialists require in order to fully meet their role obligations. The Bureau of Training is now planning, and will soon have underway, a multi-pronged attack on the problem which this study revealed:

1. The Bureau will conduct a detailed examination of the performance requirements of the employee development specialist in government, in business, and in academic training programs. If the employee development specialist job is essentially the same wherever it is performed, the Bureau will seek profession-wide acceptance of standardized performance requirements. If the job is not the same, we will at least develop performance requirements for government trainers. The potential benefits flowing from this action include not only the strengthening of the professional status of the employee development specialist but also the facilitation of inter-organizational exchanges.

2. Concurrently, Commission-offered employee development specialist training courses will be expanded to augment the skills of those presently employed, in light of the findings of the study described above.

3. The Bureau of Training will pursue with representatives of the profession, and with interested universities, the feasibility and desirability of establishing an interdepartmental degree program to upgrade the qualifications of the entry level employee development specialist.

4. The Bureau of Training will accelerate its program of developing sophisticated training management tools such as the "Training Cost Model," training value models, and training needs determination systems.

5. As an additional assist, particularly for new trainees, the Bureau will develop and publish a series of detailed procedural handbooks on subjects such as trainee selection and financial management of the training function.

We are confident that, with the cooperation and support of the training community, we can overcome the problems represented by disincentive number eleven.

III. THE STUDY

Table of Contents

Page

Introduction.....30

A. Purpose.....30

B. Definitions.....30

Methodology and Findings.....31

A. Initial search.....32

1. Employee development specialist survey.....32

2. Literature search.....33

3. Special study on utilization and productivity.....33

4. "Decision to Train" study.....33

5. Summary of findings.....34

B. Hypotheses.....37

C. Testing the hypotheses.....39

1. Budget study.....39

2. Employee development specialist role study.....45

3. Case studies.....47

a. General approach

b. Instruments for data collection

c. Questionnaire analysis

d. Interview analysis

e. Follow-up group interview analysis

"Put that time [for training] *in the bank as an investment of individual growth and development."* (manager)

"We do very little planning in the training area. I think that for the most part it's a reaction to things, things that either come out of...the Civil Service Commission, things that come out of our own Office of Administration. And very often that's the way in which we plan a training effort....I think it's very fair to say that very little planning is done." (manager)

"The courses that you can take have to be job-related. And if you have an aptitude or interest in another area, you don't qualify to take those particular courses." (employee)

If a supervisor approves your going to training courses, does that mean that he is interested in your training and development?

"No, truthfully, no....I don't think he is aware that he's not interested in it. I think that he's so wrapped up in what he's doing and his tasks, that [he forgets about] *the training of the analysts under him...."* (employee)

"Training is least often the answer to why things don't get done.... People think that training is penicillin....[But the answer is,] *generally, constraints, operational constraints, that are inhibiting things from getting done. Lack of time, lack of men, lack of money, lack of equipment, lack of communication...that allows the guy to know what the hell to do, lack of management....*[But when a man wants to do the job and can't,] *we owe it to that guy to show him how. Training is least often the answer, but when it is the answer, I don't know another answer."* (trainer)

Introduction

A. Purpose

As noted in the first section, the study of the proper utilization of employees through effective training and development was the responsibility of the Civil Service Commission Utilization Committee, Project #2 (U-2). In that section we presented a summary of the methodology and findings and a list of the disincentives discovered. The purpose of this part of the report is to discuss the research approach in depth, in order to lead the reader through the specific data collection processes which enabled us to identify impediments to training and development. This section may also provide suggestions for research approaches which could prove useful in other studies and situations.

B. Definitions

Employee--An individual who is responsible for no one's work except his own.

Supervisor--An individual at the first level of an organization's structure who is responsible for the work of others.

Manager--An individual below the executive level who has the dual characteristics of having authority to commit organizational resources and of supervising individuals who also have supervisory responsibility.

Executive--An individual reporting directly to a person in pay schedules III, IV, or V; also referred to as top management.

Employee Development Specialist--A person, other than a full-time instructor, who is directly engaged in the training and development of Government personnel. Synonymous with trainer, training specialist, EDS.

Training Disincentives--Factors within the Federal management system which interfere with effective employee training and development.

Training--Those planned and highly structured activities designed primarily to achieve specific behavioral outcomes based on pre-specified performance objectives. The activities take place within a specific time frame. Examples are Government and university classroom training.

Development--Those planned but loosely structured activities designed primarily to accomplish the work of the organization. The activities take place within a specific time frame and a broad possible range of trainee performance is expected at the end. Development is selected experience which an employee would not be expected to encounter in the routine performance of his assigned duties. Examples are conferences, committees, task forces, rotational assignments, and special projects.

Note: Obviously there are instances when the distinction between the terms training and development is not clear-cut.

Methodology and Findings

The disincentives study was carried out in three stages: an initial search for information; development of working hypotheses derived from this data; and in-depth studies to test the hypotheses.

A. Initial search

The preliminary search for information on training disincentives enabled us to get a handle on the problem and provided us with a rationale for developing both the hypotheses and the more refined research techniques required to test them. This first look took four directions: a survey of employee development specialists (EDS's); a literature search; a review of the findings of a special study on utilization and productivity; and a review of the "Decision to Train" study conducted earlier by the Commission's Bureau of Training.

These four sources of information were essentially investigated simultaneously rather than sequentially. In the discussion which follows, we will briefly describe each of these preliminary efforts and will then summarize the combined findings. It should be kept in mind that at this point the study was in an initial stage and that the use of these particular research methods and sources was designed to point the way to more rigorous techniques.

1. Employee development specialist survey

The Bureau of Training, Civil Service Commission, sent a letter to each Federal Government official with the responsibility for the employee development function in his organization (department, agency, or commission). The letter described the U-2 study and requested the official's opinions on training disincentives. Out of sixty-eight letters sent, fifteen responses, or about 20 percent, were received by the Bureau. The respondents represented approximately 20 percent of the Federal workforce. Informal open-ended interviews were also conducted with experienced Bureau of Training personnel.

2. Literature search

We carried out a review of the literature on training disincentives in order to analyze and incorporate into our study the research which had already been done on the subject. Most of the relevant materials were concerned with business and industry training and development and were authored by trainers, managers, and academicians. The full discussion of the literature review can be found in Appendix A.

3. Special study on utilization and productivity

Several areas of interest relevant to the training disincentives study had been incorporated into the "Special Study of Managers' and Supervisors' Views on Utilization and Productivity Issues." This report was prepared for the Utilization Committee by Martin Gannon and Frank Paine, staff advisors to the Civil Service Commission's Bureau of Personnel Management Evaluation. The research methodology consisted of sending questionnaires to, and then interviewing, over 200 Federal managers and supervisors nationwide. The level of the individuals, who were selected from five different Federal agencies, ranged from first-line supervisor to regional director.

4. "Decision to Train" study

In the fall of 1970, a study was completed on "Factors Affecting the Decision to Train, Descriptive and Prescriptive Strategies," by Joseph Cerio and Jeannette Rupert Johnson of the Bureau of Training, Civil Service Commission (unpublished report). Through questionnaires to almost 200 trainees in seven Civil Service Commission interagency training courses and

interviews with thirty-five of the trainees' supervisors and with twenty-five training specialists, information was collected on factors influencing these training decisions: Why should people be sent to training? Who should receive training? What training should be used or established? Since the trainee sample came from the Civil Service Commission interagency courses only, applicability of the results to the disincentives study would necessarily be limited to problems associated with that type of training. The "Decision to Train" paper is particularly interesting, though, because it takes a look at the other side of the coin from one of the disincentives questions--why people are sent to training rather than why they are not.

5. Summary of findings

In looking at the comments obtained in these preliminary investigative efforts, we found that they could be sorted according to four categories, those relating to executives, managers and supervisors, employee development specialists, and employees. The summary of findings below reflects the opinions obtained through this initial information search.

Executives

- do not consider training and development in carrying out organizational problem analysis and planning.

- use training and development haphazardly, without pre-planning.

- use training and development without consideration of costs and benefits to the organization.

- relegate the training office to a relatively low status in the organization.

- are responsible for creating within their organization an atmosphere conducive to changes in employee behavior leading to greater employee effectiveness.

Managers and supervisors

- reduce training and development activities when faced with more limited resources (money, time, personnel) than anticipated.

- may, as a result of these reductions, promise or schedule training and development for employees which is then not delivered.

- send employees to training who happen to be available to go when the time comes to do so.

- need assistance in the use of training and development for improving employee performance.

- need assistance in developing work measurement systems which would enable them to determine if changes are desirable in employee performance and unit productivity. As the result of the lack of productivity measures, managers and supervisors are not able to calculate potential performance changes to be accomplished through the use of training and development.

- are not able to determine potential usefulness of a training course from reading the course announcement.

- may not reinforce skills and knowledges newly acquired by employees returning from training and development.

- do not have much of a voice in the establishment of new training programs.

Employee development specialists

- tend to be concerned mainly with training office operations, e.g., course scheduling, training aids, new technology.

- should be concerned with consultative, administrative, and learning specialist functions.

- lack knowledge of the nature of various jobs in the organization and as a result do not and cannot provide training designed to solve performance problems.

- lack familiarity with appropriate analytic tools (e.g., task analysis) to obtain job knowledge.

Employees

- are not aware of training and development programs available.

- do not have a clear understanding of what is to be gained from attending a particular training program.

- are not aware of the contribution of training and development to their advancement.

- may not be encouraged to use the skills and knowledges acquired through training and development upon returning to the job.

- may not be allowed to attend planned for training courses when the time comes to do so.

- see prestigious training and development programs offered as a reward to some people and other programs used to get inefficient or bothersome employees out of the office.

- if at a low grade level, may have to be particularly vocal in expressing an interest in training in order to attend.

B. Hypotheses

The hypotheses derived from these preliminary research efforts were organized according to the four categories used above, executives, managers and supervisors, employee development specialists, and employees. Each category contained a general problem statement and was followed by several more specific statements which could actually be tested. If the specific hypotheses were for the most part supported, that was taken as support for the general hypothesis.

1. Executives

General hypothesis - Executives often do not systematically consider and include training and development in their long-range planning process.

Specific hypotheses

a. Little planning for training and development is indicated in agency financial plans at the executive level.

b. Executives often do not consider future training and development requirements in the context of a manpower planning system.

2. Managers and supervisors

General hypothesis - Managers and supervisors often do not systematically consider and include training and development in carrying out their respective roles.

Specific hypotheses

a. Reductions in training and development occur as a result of budget reductions; and training and development programs are reduced disproportionately to other programs.

b. With personnel ceiling reductions, attendance at training is reduced.

c. Managers and supervisors have infrequent contact with employee development specialists in solving training-related problems.

3. Employee development specialists

General hypothesis - Employee development specialists lack organizational job knowledge and the skills required to obtain knowledge.

Specific hypotheses

a. Employee development specialists have infrequent contact with managers and supervisors.

b. Employee development specialists have little knowledge of job analysis techniques and other problem-analysis methods.

c. Employee development specialists spend most of their time on the administration of training and comparatively little on consulting.

4. Employees

General hypothesis - Employees often do not receive effective training and development.

Specific hypotheses

a. Employees are infrequently consulted by supervisors concerning their short- and long-range training and development plans.

b. Employees doubt that their agencies are committed to the planning of their individual training and development programs.

c. Employees infrequently believe that they are receiving the training and development needed to do their present job properly.

d. Employees infrequently believe that they are receiving the training and development needed to help realize their potential.

C. Testing the hypotheses

In order to gather data which would provide tests of our hypotheses, we pursued three main avenues of investigation: a budget study, an employee development specialist role study, and in-depth case studies.

1. Budget study

We contracted for a study on "Federal Budgeting Practices as They Relate to the Training of Civilian Employees." The study was particularly concerned with these four areas:

a. The attention given to training during top management deliberation on agency or bureau budgets.

b. The formal process for including training requirements in budget preparations.

c. The extent to which long-range training plans are reflected in budget submissions.

d. The effect on training budgets of reductions of agency funds that require reprogramming within fiscal years.

Information was collected from nine departments, two agencies, and sixteen subordinate elements within four of the departments and agencies. The contractor relied primarily on personal interviews, with a questionnaire used as a guide in the discussions. Efforts were made to conduct

the interviews with officials from the budget or financial management office of the organizations involved together with officials from the training office (or that personnel component responsible for training). Appointments were made through the liaison officers designated by the departments and agencies in response to a letter sent out at the start of the study.

The following is a summary of findings; for the complete report and the questionnaire used during the interviews, see Appendix B.

Top management deliberations on agency or bureau budgets gave separate attention to training and development of civilian employees in about 50 percent of the cases studied. Those agencies* and bureaus* where training and development does get attention by top management are typically those, like the Internal Revenue Service and the Federal Aviation Agency, where development and training of personnel is essential to properly carrying out the program. The missions of these types of organizations make it imperative that they train their employees for special purposes.

The emphasis on executive development by OMB and the Civil Service Commission, and the pressures to provide "upward mobility" opportunities and training for lower grade, minority employees, have resulted in some agencies and bureaus focusing on (and sometimes budgeting for) these

*For purposes of this report, the term "agencies" includes the nine departments and two major agencies contacted; the term "bureau" includes all the 16 subordinate organizations studied within four of the agencies.

particular training and development programs at overall agency levels.

The reflection of long-range training programs (or training programs based on long-range manpower plans) in the budgets of agencies and bureaus is the exception rather than the rule. Agencies such as those mentioned above typically relate their budget requirements to long-range plans. A few agencies and bureaus reported long-range training plans that were not reflected in budget estimates, either because they had not progressed to the point where they were ready for estimating, or because there was insufficient coordination between training and personnel officials and financial management officials.

There is divided opinion among financial management, personnel, and training officials as to the desirability of identifying training and development costs as separate items in budgets submitted to the OMB and the Congress. The majority of the officials interviewed felt that training was too "vulnerable" if it was so identified, and that it was preferable to include training budgets in such categories as "personnel support," "general administrative support," etc. Officials in other agencies felt strongly that development and training costs should be reflected separately. Training should be required to "stand on its own feet."

It was not possible on the basis of information developed during the study to determine which approach was preferable, measured by success in getting budgets approved. Amounts of funds budgeted for training and development of civilian employees was usually not available in those

instances where training was not separately identified in budgets. Indeed, in most instances, the accounting systems of such agencies and bureaus did not produce useful obligation or cost data on training and development activities.

Only a few agencies and bureaus made a special point of referring specifically to training and development requirements in their budgets. Most stated that training requirements were on a "going rate" basis; "determined by requests and needs;" included in such larger categories as "personnel support," "administrative support," etc. "Upward mobility" and executive development training requirements were treated separately at the agency level in budget submissions and financial plans in some instances.

The manner in which training and development costs are determined varies considerably among the agencies and bureaus studied. Some examples:

> In a few instances, programs such as "upward mobility" and executive development are developed separately and costs are estimated on an agency-wide basis.
>
> Training estimates are included on a factor basis tied to estimated numbers of new hires (further related to types of hires) and/or continuing position (also tied to types of positions).
>
> Development and training costs are based on identified training positions (or position equivalents). The number of such training (or position equivalents) are calculate separately, allowing for factors such as new hires, needs of the service, changes in staffing for the agency as a whole, etc.

In some agencies the budget estimate is based upon manpower ratios for training included as a percentage of total manpower required for direct production.

One bureau uses a percentage of new hires as the basis for training costs and thereafter retains in its training base 10% to 20% of this increase for use in additional training.

No special basis for training is specified. Estimates are based on what was spent in the past modified by estimated changes in "needs."

Several of the agencies and bureaus studied mentioned the special problems faced by training as a result of statutory restrictions on funds that may be used for travel. One agency which has been expanding its operations and is very aware of the need to train reported that its effectiveness in training was impaired as a result of the overall travel limitation applicable to the agency as a whole. When a choice had to be made between operational travel and training travel, the latter suffered.

Another external impediment to training and development stems from ceilings placed on total employment and restrictions set on budgeted positions. Some agencies and bureaus include specified overages in their program staffing estimates to allow for training slots and employment ceilings; other agencies and bureaus reported that additional budgeted positions needed for training were "allowed for" in their "overall" staffing patterns. There were special problems in training persons located in small field offices, since it was necessary to cover such offices while the regular incumbents were in training.

Most agencies and bureaus stated that funds budgeted for training fared very well in comparison with funds budgeted for other purposes. There was only one instance where the review body (an appropriations subcommittee) was critical of training requests. Most agencies and bureaus where funds for training were separately identified in the budget said that funds for training and development were largely protected from overall budget cuts. Several agencies, however, reported that funds for training in subordinate elements took a more than proportionate cut when it was necessary to reduce funds during the course of a fiscal year. One agency reported an instance where the instructions from the Office of the Secretary suggested that cuts be taken in training and travel.

Two of the bureaus with large and systematically administered training programs made use of priority classifications in their training needs, ranging from "must" training (or "job required" training) to "desirable" or "discretionary" training. One bureau maintained two priority classifications; the other had four classifications.

Only a few agencies or bureaus reported that they were unduly restricted by a lack of funds for training, although several noted that they were restricted in funds generally and that the training function therefore suffered along with other needs. There were occasional inconsistencies, however. The same element reporting no lack of funds sometimes reported unfilled requests for training.

The record of actual vs. planned uses of funds budgeted for training was good in those few instances where information on specific amounts was given. About half the agencies and bureaus stated that funds planned for training, since they were relatively flexible, were either added to or subtracted from during the course of a fiscal year to a greater extent than was true of funds for other budget activities. More of the agencies and bureaus indicated additions than subtractions.

The budget study conclusions support hypotheses 1a, lack of planning for training and development at top levels; 1b, lack of training and development programs in the context of a long-range manpower system; and 2b, reduction of attendance at training because of personnel ceiling restrictions. On the other hand they do not support 2a, disproportionate reduction in training and development funds as compared to other program cuts (see pages 37 and 38).

2. Employee development specialist role study

Since we were proposing that the employee development specialist was not fulfilling his proper role, and indeed was not able to do so, we more thoroughly investigated this question through a literature search. The research addressed itself to three main questions:

a. What is the current role of the employee development specialist?

b. What is the proper role of the employee development specialist?

c. What are the current views on the desirable educational and experiential backgrounds of the employee development specialist?

It should be noted that when we refer to the roles of the employee development specialist in the discussion below, we are not implying that one person should necessarily be performing all the roles, but rather that all the roles are the responsibility of an agency's training office.

The literature shows that trainers, managers, and Civil Service Commission publications, including classification standards, are in agreement that the employee development specialist should properly be playing three roles: consultant, administrator, and learning specialist. There is disagreement, however, between the employee development specialists and managers on the current role of the employee development specialist. Trainers feel that they are now performing as they think they should, primarily as consultants and administrators, while managers feel that trainers are currently spending much more time as administrators and less as consultants than they deem appropriate.

The literature also reveals that trainers have degrees primarily in the fields of education, business administration, public administration, and political science and government. These concentrations seem appropriate for the administrative and learning specialist roles. It would seem, however, that such concentrations, as with many other academic disciplines, do not currently prepare the employee development specialist to adequately perform the consultant role. Finally, there is little definitive information, as indicated by this literature search, on the on-the-job experiences which are appropriate for the development

of competent employee development specialists.

From what was found in the employee development specialist role study, we concluded that the evidence is equivocal when it comes to hypothesis 3c, the degree to which employee development specialists actually carry out the consultant role which all parties agree is important. For a full discussion of the employee development specialist role study, see Appendix C.

3. Case studies

We carried out in-depth case studies of three Federal agencies in order to thoroughly cover the problem areas we had identified and test the hypotheses we had developed. For each organization we contacted the training office, described the general nature of the training disincentives problem and the charter of the U-2 committee, and outlined the research methodology we proposed to employ. Once we received approval for coming into the agency, we determined with the training office the organizational units to study and obtained appropriate line management support.

Of the three agencies used, one is relatively large in terms of staff size, both in its central office and its field installations. It is highly operational and is engaged primarily in processing cases of claimants and applicants. The second is a relatively small agency, with an especially small headquarters office and widely scattered field units. It is primarily engaged in monitoring, protecting, and overseeing natural resources. The third test agency is between the other two in size

and its mission is primarily that of collecting, processing, and distributing data. The three agencies provided us with a variety of staff sizes, missions, organizational structures, and job and grade categories.

a. General approach

In order to collect data from all levels in the organization, we identified several vertical slices, each of which consisted of a major unit of the agency, one or more subordinate groups under it, several units under each of those, and so forth, until when we arrived at the first level supervisor slot, we included all the employees under it as part of the slice. (Examples of vertical slices in one agency are shown on the following page.) We found that this vertical slice technique was the most efficient means of collecting data, in terms of (1) contacting the fewest number of managers to acquire approval, (2) obtaining as many sub-units as we needed to fill our sample goal (approximately 200 employees per agency), (3) passing out and collecting questionnaires in a short period of time and with a high return rate (see discussion below), and (4) including in our study a variety of grades and jobs--clerical, administrative, technical, and professional.

b. Instruments for data collection

Two data collection methods were used in the case studies--questionnaires and interviews.

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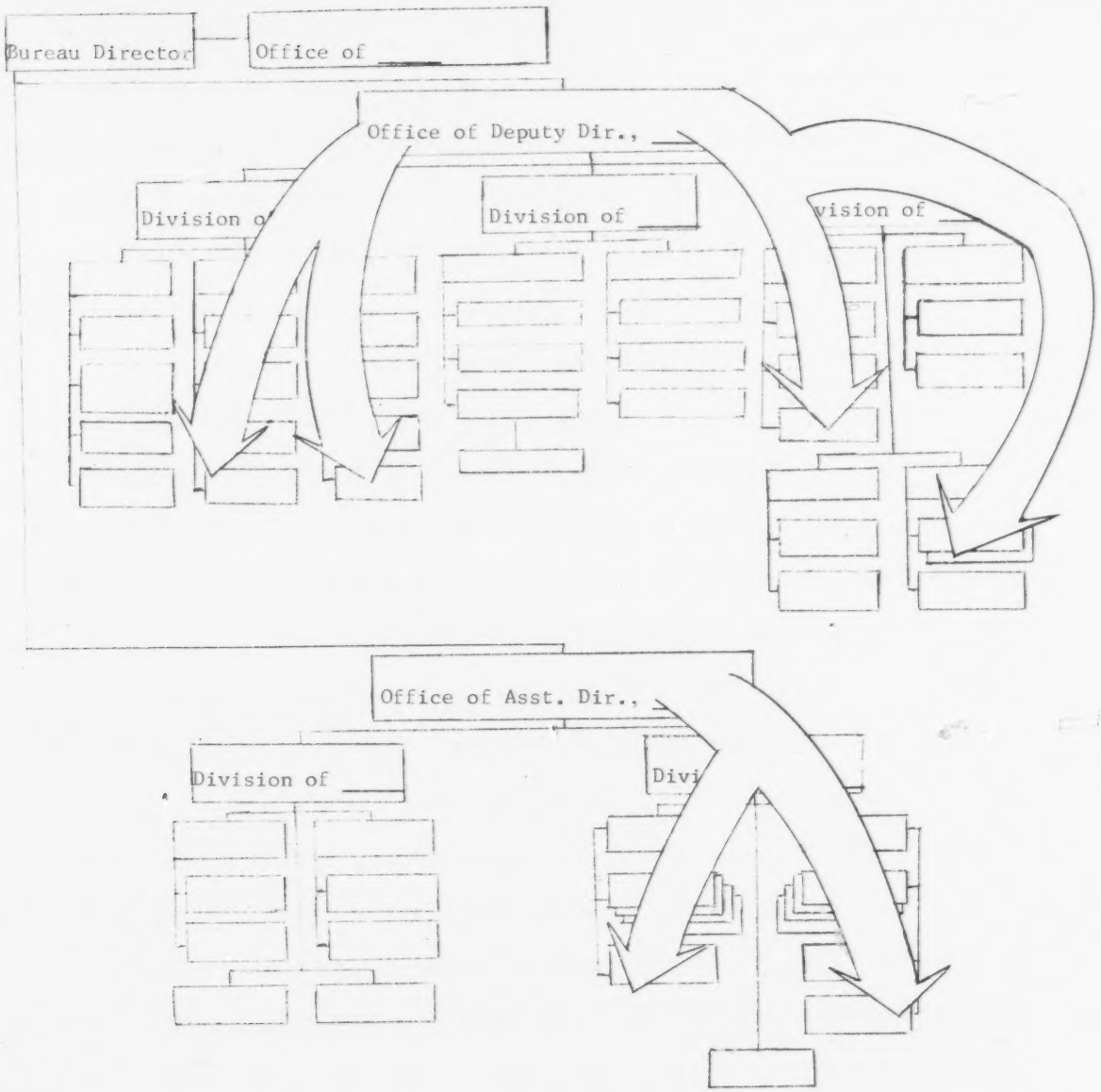
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For the questionnaire approach we used two forms, one for employees and one for supervisors (see Appendix D). The first part of the questionnaire, which was filled out by both employees and supervisors, asked for demographic information on age, sex, grade level, years with the Federal Government, and number of formal training courses attended in the last three years. For the supervisory questionnaire form an additional question was asked on the number of yearly contacts the supervisor had with his own agency trainers.

The second part of the questionnaire consisted of attitude statements which were responded to by circling a number from one to seven (disagree to agree); a "not applicable" response was also provided. The first fifteen statements were answered by employees and supervisors both, and were concerned with various facets of the individual's own experience with formal training courses. The supervisory questionnaire containec an additional eight statements with the same format as the first fifteen and referred to the training of the supervisor's employees.

The questionnaires were given to employees and supervisors either on-site or in a central meeting room, whichever was more convenient for the particular group. Before handing out the questionnaires, the researchers explained in general the purpose of the study. Several points were emphasized: the questionnaires were to be filled out anonymously; the responses would be confidential and no one in their agency would see them; the questions covered experience with formal Government sponsored training only; and the responses were to be based on the respondent's own opinions. All supervisors and employees present at the

time previously arranged were given the questionnaires. The researchers personally collected the responses so that we had a 100 percent return rate.

The second data collection technique applied was the interview. This was used in two different ways--as an open-ended discussion with the managers in our vertical slices, based on several previously determined key lines of inquiry, and in a more structured or patterned interview format in talking with the employee development specialists of the organization (see Appendix E).

All interviews were tape recorded for later review and analysis. By recording the conversations the interviewers could more closely listen to and follow up on particularly important areas of discussion. The recorder and microphone seemed not to create any inhibitions on the part of the interviewees (or interviewers). The managers and trainers were assured that the tapes would be held in confidence and that no one else in the agency would hear them.

The purpose of the managers' interviews was to determine the attitudes of managers toward training for their subordinates, their own involvement with the planning for that training, and their relationship with the training office of their organization. In talking to trainers we were interested in their educational background, in how they spent their time and who they worked with in carrying out their function, and in how they determined what kind of training to provide the organization.

We talked to at least one manager at each level along a vertical slice, for all slices. For the interviews with trainers, we talked to all the trainers if the agency training office was small and to a sampling of trainers if the office was large. Our total sample consisted of twenty-four managers and twenty-two trainers.

c. Questionnaire analysis

The questionnaires were put through several sophisticated computer analyses. The following discussion is a summary of the findings; for a more detailed report on how we arrived at these conclusions, see Appendix F.

The first computer analysis was concerned with responses to the fifteen questions which were answered by both employees and supervisors about their own training experiences. From this analysis we discovered that people are very satisfied with training overall. Problems show up, however, when we look at specific groups of people and specific areas of inquiry.

The most important specific finding is that supervisors and employees differ radically in their perceptions of training in two areas--the usefulness of training and the organization's commitment to training. Specifically, the analysis showed that while employees are comparatively satisfied with the usefulness of training for their present jobs, they do not feel that they are receiving training relevant to their future assignments. Supervisors are much more positive

about the usefulness of their own training than are employees. Second, employees are less positive than supervisors in their belief that the organization is committed to their training. This difference in attitude shows up especially strongly when people are asked about the adequacy of supervisory counseling, which was an indication of the degree to which the agency is committed to training. Employees are much less satisfied with counseling about their training program than are supervisors about theirs.

The questionnaire analysis showed that attitudes are not nearly as affected by grade level as they are by position (employee or supervisor), nor does consideration of age or experience measurably change the results of the analyses. There is one significant difference by sex--women feel that they have more choice than do men concerning the courses they attend. While we can speculate on the causes behind this finding, we cannot draw any firm conclusions from this evidence alone. This is particularly the case because complete analyses could not be performed as a result of the scarcity of women at the higher grade levels.

From an analysis performed on responses to the eight questions which were answered by supervisors only, we learned that the attitudes of supervisors vary significantly according to the agency that the supervisors are in. For example, supervisors of two of the agencies

are much more dissatisfied than those in the third agency concerning the advice supervisors provide to employees on training. And supervisors of one agency are much more dissatisfied than those in the other two agencies with the overall performance of their trainers. This information is useful to the particular agencies involved but we cannot draw any general conclusions from it on supervisory attitudes overall.

The results from the questionnaire analyses would appear to support hypotheses 4a, lack of consultation or counseling provided to employees on their training and development plans; 4b, doubt by employees concerning agency commitment to the planning for training process; and 4d, belief by employees that they are not receiving adequate training and development to help them realize their full potential. Hypothesis 4c, belief by employees that they are not receiving adequate training and development for their present job, was not supported (see pages 38 and 39).

d. Interview analysis

In talking with managers and employee development specialists we heard the following points made over and over:

- Some managers and supervisors actively discourage employee participation in training and development. But whatever the attitude of managers regarding training and development for their employees, they agree that several organizational conditions serve as disincentives to properly performing all of their managerial duties: organizational rewards result from meeting production goals, not from effectively

training employees and, to go along with that, the benefits of training and development are not very clear in terms of their effects on better meeting organizational objectives. Thus managers and supervisors are reluctant to spare employees for training because they will lose their productive efforts. This is a particular problem during times of personnel ceiling reductions. Developmental programs create a special difficulty--productivity loss is great because of their length (ranging from many weeks to two years) and there is a definite possibility that the employee will not return to the original work group.

- Managers and supervisors vary widely in their support of training and development, from negative, through indifferent, to positive. The employee, it would seem, has to depend on the luck of the draw.

> *"There are just so many things you can get done in eight hours a day. And the job and training are slightly in conflict, because you've got the job to get done."*
> (supervisor)

> *"You've got to periodically say 'Well, to hell with it.' If this guy got sick and was laid up in bed for six weeks, he wouldn't be at work. So let's let him go to that training course. You just sort of have to run the risk because there will be somebody else there to do the job. Maybe not as good a job, but they'll do the job. No one's indispensible. So you have to take this approach when it comes to training if you're really concerned about what your organization's going to look like three years from now, five years from now."*
> (manager)

- Managers feel strongly that if training and development is to be carried out agency-wide, commitment to that training and development must start at the top of the organization and be force-

fully communicated downward.

> *"One of the major things is to sensitize supervisors all up and down the line to this need* [for training], *from the Office of the Commissioner on down. You've got to take time out to train."*

How do you get this across to your supervisors? *"My division directors understand my position, so I have no problem."* (manager)

- There is little planning for training and development, from top levels on down.

- Managers say that little assistance is provided by employee development specialists in determining training and development needs. This was verified in several ways. Trainers themselves do not spend much time in this consultant activity, nor does their background prepare them to do so. Also the questionnaire analysis revealed that supervisors have an average (median) of 2.0 contacts with their agency trainers per year. A number of trainers interviewed indicated a need for a clearer definition than exists now of what constitutes training and development and of the proper role of the trainer and the training office, especially as consultants with managers and supervisors.

> *"To my knowledge, and I've been in this job a little over eight years, I've never had anyone from the employee development branch of personnel come over and say, 'I'd like to go over your training plans with you and your ideas. Here's some ideas I have. Let's get together and make you a program.'"* (manager)

> "[We] *need more aggressiveness on the part of the manager to request special training* [that he needs]." (manager)

- External training course announcements are often not sufficiently specific to allow managers to make accurate decisions on the usefulness of the course for their employees.

- External training courses tend to be too general or contain irrelevant material for the trainees.

> *"In designing a training course you must know exactly what the man is expected to do. Otherwise you're going to give him a lot of nice to know and too little need to know."* (trainer)

- Timely information about training programs is often difficult to obtain from external sources of training.

These interviews provide additional support for hypotheses 1, lack of long-range planning for training and development by executives; additional support for 2b, reduction of training when personnel ceiling reductions occur; 2c and 3a, infrequent contact between managers and supervisors and trainers; and 3b and 3c, little knowledge by employee development specialists of job analysis techniques and little time devoted by employee development specialists to consulting (see pages 37 and 38).

e. Follow-up group interview analysis

The questionnaire allowed us to test out hypotheses and to identify particularly crucial problem areas, but it was not designed to enable us to provide fuller explanations of those problem areas and determine cause-and-effect relationships. We therefore carried out

follow-up group interviews with supervisors and with employees to more fully investigate the problems with training and development that they had identified.

The interviews were conducted at two of the three test agencies (the third was performing its own internal audit at the time and was not available to us) and at the Bureau of Training, Civil Service Commission. In each agency there were one to two groups of supervisors, with four to six supervisors in each; and two to four groups of employees, also with four to six people in each. The total number interviewed was twenty-two supervisors and forty-two employees. The employee groups contained clerical, technical, administrative, and professional employees in varying mixes. There were two interviewers for each group and they followed a patterned interview format (see Appendix E).

We tape recorded these interviews also and, as with the others, found the people participating to be quite willing to frankly discuss the issues raised. For the two test agencies, the interviewees were from the same organizational units which received the questionnaires. It was not necessary, however, for these interviewees to have actually filled out questionnaires.

Since the lack of counseling was one important problem area identified through the questionnaire analysis, and was particularly a difficulty for employees, we asked about counseling in our questions

to both supervisors and employees. The discussions confirmed that nobody gets much counseling on his individual training needs. Supervisors admit that they do not feel comfortable in the counseling role and would like more training themselves in order to better perform this function. There is also confusion about who should do the counseling--supervisors or trainers--although it is agreed that some aspect of it should be done by each. Supervisors feel that they themselves are responsible for the analysis of their own training needs, which may explain why they are more satisfied with the present state of counseling than are employees.

Those interviewed felt that, ideally, manpower planning and counseling should be coordinated, so that people are directed into needed occupational areas. They also said that there needs to be coordination between counseling and money budgeted for training, and counseling and planned time for employee training as part of production planning.

Concerning the question of who is able to actually participate in training and development, the interviewees said that people with production kinds of jobs, including clerical workers, are less frequently allowed away from their work to attend training than are people with professional and administrative jobs; also supervisors report that they are often too pressed for time to participate in training. At any rate, we can conclude from the interviews that lower level employees are <u>told</u> by their supervisors whether or not they can take a course

when the time comes, while others make that decision for themselves. Employees who are aggressive and persistent in their request for training are the individuals who are more likely to actually receive training. These seem to be particularly useful traits for lower level employees, especially when supervisors are indifferent to or negative about training.

> *"I've seen supervisors* [prevent employees from going to training because they are needed on the job]*...because lower grade clerks are on production and it's important for the clerks to be there every day. And they seem to put this before anything else. Whereas a person who is in systems, or in an analytical position, their time is not budgeted like a lower clerk's time. Everything is specialized there and you get so much time for each thing. And some supervisors do begrudge a clerk time to go because they have backlogs and workloads that they have to get out."* (clerical supervisor)

> *"We have a girl that's a secretary and she's the only secretary we have and she's got to go for two weeks of training. My normal reaction is, can I get somebody to fill in for two weeks, and generally, no. So it makes it kind of difficult...for the clerical level....If you get into the technical area or professional area, we find that we can do without our professional people away from the desk longer than we can, say, for clerical people because we can back up."* (supervisor)

Both employees and supervisors thought that the Training Act required that training be directly and narrowly job-related in order for employees to take it, or at least the justification for going has to have that slant. Employees, especially at lower levels, often reported that they feel locked into their jobs, especially because of this narrow interpretation of the law.

"...on a control job where you log mail in and out, all you need to know is your alphabet and your numbers, so what kind of courses can you take?" (employee)

"Some kind of [upward mobility] *plan is necessary because it's too boring to spend your life working at one job. People just completely give up. They drop down to the minimum kind of production and they get extremely narrow and they quit. Or they feel locked in and hopeless about the whole thing."* (trainer)

Interviewees said that external course announcements are frequently too imprecise to allow proper decision-making concerning the usefulness of the course. And often they arrive too late to plan for employee participation.

They also said that expectations about the nature of a training course to be attended and the possible behavioral changes as a result of participation are not usually discussed by the supervisor and employee before the individual goes to the course. In addition, while employees often said that the course attended was "good," they admitted that they frequently could not apply the content to their job. Reasons given for this were: (1) the course material was not relevant or was too general, or (2) people expected the returning employee to behave according to the old ways, the procedures established in writing or by an unwritten understanding.

"I've had some experience in taking a course in career writing, report writing and I've found each time that I've participated in a course like this, it's wasted because [if] *you come back and write the way they teach you in class, then it's not going through. You get it bounced. So in my opinion the time that I've spent in class and the money spent for the course is wasted."* (employee)

"I went to this...secretarial techniques school. I came back all enthusiastic about...the salutations and the sincerely yours and everything all lined up like they do in the Army and Navy, all straight down because it does save time. And the answer I got was 'Oh, no, we've never done that.' It's kind of frustrating." (employee)

Does this apply to internal training courses? *"No, this is external training."*

With the conclusion of the presentation of the findings from the case studies, we can summarize how the hypotheses fared in the testing process.

Only two hypotheses were not supported. First, contrary to our initial beliefs, we found that training and development programs are not reduced disproportionately to other programs when budget cuts are imposed. Second, and also in contrast with our original supposition, employees are indeed fairly satisfied with the training and development they receive to improve their present job performance.

All of the other hypotheses were confirmed by the findings of the various U-2 research techniques.

IV. CONCLUSIONS

The U-2 study on training disincentives has resulted in a Civil Service Commission action plan for reducing the identified impediments to training and development. The full discussion of the disincentives and the actions for overcoming them is found in the first two sections of this report. We also urged trainers and managers from Federal, State, and local governments, and private industry, to consider what internal efforts can be made to minimize the impediments to training in their organizations. We would like to conclude here by emphasizing the two key disincentives discovered in the U-2 study.

Disincentive number one is: The benefits of training and development are not clear to top management. It is this disincentive which results in a series of additional, linked disincentives existing organization-wide and which therefore deserves particular emphasis and attention. We have proposed that disincentive number one be overcome through the use of productivity measures, along with training cost/benefit systems. With the means in hand to measure productivity, management can consider the contribution of training and development to that productivity. It then follows that training and development can more easily become an integral part of the organization's planning and budget systems. And managers will have the desire and ability to provide the training and development for employees which leads to the managers' achievement of organizational goals.

The other highly important disincentive brought to light by the U-2 study is disincentive number eleven: The employee development specialist (EDS) provides limited counseling and consulting services to the rest of the organization. The disincentives study has shown that the employee development specialist is not really equipped, through academic studies or on-the-job experiences, to carry out the consultant role. Without the appropriate skills, the EDS does not and cannot provide consulting assistance. With EDS assistance rarely provided, top management and others in the organization do not expect the EDS to provide consulting services. And as long as these expectations do not exist, the EDS is not likely to make attempts to acquire the skills and knowledges needed. What we have found, then, is a vicious circle involving skills, performance, and expectations.

The Civil Service Commission's Bureau of Training is now undertaking a major, long-range study of the means to break this circle. The study will lead to increased opportunities for people who are considering the employee development specialist function as a future profession, and those already in that occupation, to become fully qualified consultants to management, supervisors, and individual employees. During the course of this extensive investigation, as methods are identified to provide EDS's with appropriate skills, these programs and techniques will be made available to them.

Gradually, then, we will be providing the employee development specialist with the opportunities and means to make a valuable contribution to the management of the organization.

In sum, while there will always be individual disincentives to training and development, we can look forward to the time when those that have been built into our systems of management will be substantially reduced.

V. APPENDICES

Page

A. Literature Search.....67

B. Budget Study.....74

C. Employee Development Specialist Role Study.....90

D. Questionnaires.....108

E. Interview Formats.....120

F. Questionnaire Analysis.....132

APPENDIX A

Literature Search

This report will begin with a brief overview of the respective roles of the several groups involved in the training and development function. The bulk of the report will deal with disincentives to training and development. For the purposes of this report, the phrase "training disincentive" means a factor within the Federal management system which interferes with effective employee training and development.

Of the several groups involved in training and development--executives (top management), managers and supervisors, employee development specialists (EDS's), and employees--each has a particular role to play if the training and development function is to be carried out effectively (Byers, 1970). For employee training and development to be effective, executives should create within the organization an atmosphere conducive to changes in employee behavior. Supervisors should reinforce in employees behavioral changes which come about as a result of employee training and development. The EDS has several roles to play if training and development is to be effective. He should act as a consultant to management. He has administrative functions to carry out. Finally, although teaching should not be his major function, the EDS should possess a knowledge of the learning specialist role. The employee's role in training and development

is to increase his value to his organization.

The literature contains numerous examples of training disincentives. Disincentives can be grouped under the following categories:

1. Those primarily related to executives and managers and supervisors;
2. Those primarily related to EDS's;
3. Those primarily related to employees.

Training disincentives which can be associated primarily with executives and managers and supervisors are varied. Top management sometimes harbors attitudes which are unfavorable to training and development (De Phillips, et al., 1960). This is unfortunate because the attitudes of management can have both obvious and subtle effects on training and development programs. As a result of these attitudes, management sometimes creates restrictive environments which are not conducive to the acceptance of changes in employee behavior (Pfiffner & Fels, 1964). Also, managers and supervisors sometimes make little use of those employee innovations which are derived from training (Byers, 1970). Thus employees who participate in training and development are sometimes discouraged from putting into practice that which they have learned.

Top management could gain an insight into the nature of behavioral change brought about through training and development and, at the same time set a positive example for employees, if they would participate

more frequently in the training and development process (Pfiffner & Fels, 1964). They can do this by enrolling in programs of executive development themselves. Also, managers and supervisors may be guilty of leaving the employee out of the decision process when selecting employee training and development programs (Owens, 1970). Employees will be more likely to benefit from training and development when they have some opportunity to help determine the nature of training and development in which they will participate.

Top management sometimes establishes training policies only within comfortable boundaries, thus losing the benefits to be gained by extending the existing boundaries beyond their customary limits. For example, if management is comfortable with encouraging its employees to go to night school, it could extend its boundaries by reimbursing the employee for his tuition upon successful completion of a night course. When tuition reimbursement becomes comfortable, management could add "release" time for study. In a similar manner, boundaries of in-service training can be pushed back (Byers, 1970).

Managers and supervisors often do not make the training needs of their employees known. This hampers the EDS in the evaluation of training and development needs and some supervisors are actually threatened by increased employee competence (Byers, 1970). Such supervisors discourage training and development efforts, especially when the skills and knowledges imparted by training and development are the same skills and knowledges which define the differences between the responsibilities of the employee and those of his supervisor.

A final area of management-associated disincentives is that connected with budgets. Whenever there is a financial squeeze, training and development is often among the first of the programs to be cut (Cone & McKinney, 1972). It is unrealistic for management to view employees as being less than essential assets of the organization. As such, employees should be encouraged and expected to develop (Owens, 1970). It is unfortunate that manpower resources do not receive the same attention from top management as finance, land, buildings, or equipment (Cone & McKinney, 1972).

EDS's themselves are sometimes responsible for creating disincentives to employee training and development. For one thing, trainers often view themselves simply as teachers rather than as administrators of entire training and development programs (Byers, 1970). Consequently, many training and development programs are poorly organized (De Phillips, et al., 1960). Another problem is that trainers sometimes do not plan far enough into the future for training needs and as a result, training and development may be too little and too late (Finnigan, 1970). Also, when EDS's determine training and development needs only on the basis of what courses are available off the shelf, between 80% and 90% of the employee development task is lost by default. This is due to several reasons. Training needs not covered in the packaged courses will probably be overlooked. Some of the shelf courses will be given time and time again, not because they meet specific training needs but because they

are popular. Because they are usually established by a central headquarters, some of the shelf courses become institutionalized. To maintain an institutionalized course, employees must often be recruited. Thus, we sometimes find persons receiving training which they do not need or want (Owens, 1970).

Trainers can also create nonproductive training situations when they attempt to solve through training a problem which is not related to training. For example, if it is determined that a high employee turnover rate exists because of noncompetitive salaries, the problem is not one which will be solved through training (Bumstead, 1972).

The outlook of the EDS with respect to the training and development process is relevant. Often trainers have a micro view of training (Byers, 1970). That is, trainers have a tendency to become mired in detail, dividing the operational aspects of the organization into small components. While this approach may be useful when attempting to change behavior on specific issues, it often ignores the needs of the employee as a person, as well as the broader needs of the entire organization. For example, a micro orientation to training can be successful in teaching a secretary to type faster and more accurately. However, the same approach does little to help that secretary find satisfaction in her role in the ongoing operation of her organization. If she does not understand or is not satisfied with her role, the secretary will probably not be as valuable an asset to her organization as she might otherwise be.

Concerning disincentives related to employees, those employees who are misinformed or uninformed with respect to training and development programs may create an impediment to effective training. And while some may say that it is the responsibility of management to see to it that employees are properly informed, it should be remembered that employees are not without some responsibility in this area (De Phillips, et al., 1960).

Employees sometimes lack sufficient self motivation to take advantage of training provided them. Employee motivation may be enhanced as the employee gains an appreciation of his training and development, including an understanding of the ways in which training and development can serve as a steppingstone to further training and advancement (De Phillips, et al., 1960). Unfortunately, employees sometimes tend to view training and development programs as being merely a means to obtain promotions (Byers, 1970). Finally, training and development may be viewed as a threat by some employees. The object of training and development is to change behavior and sometimes employees are not willing to change set and comfortable behavior patterns (Pfiffner & Fels, 1964).

Disincentives to training, then, can be seen as being related primarily to top management, managers and supervisors, EDS's, or employees. All the groups must work together if disincentives to training are to be overcome.

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APPENDIX B

Research Study on Federal Budgeting Practices as They Relate to the Training of Civilian Employees

In the following sections of this report, material secured from the eleven agencies and sixteen bureaus studied is grouped basically according to four principal categories:

1. The attention given to training during top management deliberation on agency or bureau budgets.
2. The formal process for including training requirements in budget preparations.
3. The extent to which long-range training plans are reflected in budget submissions.
4. The effect on training budgets of reductions of agency funds that require reprogramming within fiscal years.

Included with statistical information are comments and explanations which help to explain differences and similarities of budget practices among the organizations studied.

BACKGROUND INFORMATION

Funding sources for training of civilian employees

The principal funding source for all elements studied was the operating appropriation (usually a "salaries and expenses" appropriation). One agency reported that one of its bureaus has authority to

use both operating and capital appropriations for training purposes. The use of the capital appropriation is authorized where new systems are built and it is necessary to train employees in the operations of such systems.

Other fund sources

Four agencies use working capital funds for some of their training programs--primarily those programs involving inter-bureau participation. One bureau uses its industrial fund for training.

One agency uses a central "Administrative Operations Fund" to administer funds from 14 other appropriations and limitations.

Reimbursements from other appropriations (through other than working capital funds) were used by several agencies and bureaus as an alternative method of pooling resources for training programs involving several bureaus (or agencies and bureaus).

Identification of training funds in budgets and financial plans

In most instances, funds for training are not separately identified in budget schedules submitted to OMB and the Congress. Within financial plans, the funds are normally included as a part of "personnel support;" "general administrative support;" "other personnel costs;" or similar categories.

One bureau shows training funds as a program activity. Another bureau shows a sub-activity for "Education and Training." Similar exceptions occur in several other bureaus and agencies without affecting

the general conclusion that such identification is the exception rather than the rule.

One agency shows a sub-activity for training in its "Administration and Staff Support" appropriation (which covers costs other than staff and travel). Also, in its presentation to OMB, and in its actual administration of funds, it transfers remaining training costs to a central "Administrative Operations Fund" from all the other appropriations in the agency. (This procedure has not yet been accepted by the House Appropriations Subcommittee in charge of this agency's funds, and there is apparently a chance that the authority for the administrative operations fund may be revoked by Congress.)

How resource allocation decisions are made

Approximately half of the agencies and bureaus studied make use of some sort of committee system ("Budget Review," "Program Review," "Executive Committee") for purposes of making resource allocation decisions. The other half typically report that the principal officer (Secretary of Department; Administrator; Chief of Bureau; etc.) makes such decisions on the basis of consultations with his assistants, sometimes limited to his financial officer (budget officer) or assistant for administration and sometimes involving formal or informal hearing procedures with all the principal officers.

Staff work necessary for the making of resource allocation decisions is done by the budget offices of nearly all agencies and bureaus. In

a few organizations staff functions such as "Program Policy," "Operations Analysis," or "Planning and Evaluation," play a significant role in the process. One organization makes use of an out-of-town three-day conference of its principal officials for purposes of resolving resource allocation problems.

The study revealed substantial variation among agencies and bureaus with respect to the timing and methods used for reviewing resource allocation decisions. All agencies and bureaus went through the initial preparation of budgets (starting anywhere from January through June of each year) for submission to OMB on October 1 for the fiscal year starting the following July 1. For some, this was the only occasion for any sort of comprehensive review of resource allocations. Others went through subsequent reviews in varying amounts of detail after the OMB had made its decisions; after Congress passed appropriations; or (for the program year) as a part of mid-year reviews.

Role of the personnel (or training) office in budget process

In one agency, the personnel office controls funds for training almost completely, which means that it has primary responsibility for working with the various programs involved to determine training needs. Similar centralization exists in another agency. In several agencies and bureaus the personnel (or training) office initiates and plays a principal role in carrying out the budget process for agency-wide programs, such as Executive Development, Upward Mobility, Public Service Careers, etc. One agency for example, controls the Upward Mobility program

at the secretarial level; another plans to handle the Executive Development program at the secretarial level; and a third is considering centralizing its Executive Development. A fourth agency already has central clerical, supervisory, and management training programs.

But the principal role for personnel and training offices in most agencies and bureaus is supportive--with degree of support varying widely. Some agencies report very little staff and very little involvement at the agency level. Others are deeply involved in setting guidelines and preparing courses, in maintaining a comprehensive review of manpower requirements and plans which serve as blueprints for training programs by subordinate elements, or in similar coordinating and facilitating roles.

ATTENTION GIVEN TO BUDGETS FOR TRAINING BY TOP MANAGEMENT

Focus on training budget requests by top management

The study revealed that in about 50% of the elements studied, the budget process results in presenting to top management separately identified information about training and development budget programs and costs. This means that budget decisions by top management tend to be focused on training as a separate budget item, in competition with competing program and other staff claims. In the other elements, training may or may not be looked at as a part of the regular budget process, depending primarily on whether it is a significant item of increase in the programs being reviewed.

Where the training budget is treated as a separate budget category for purposes of review by top management, it is usually presented in the context of a longer-range plan (anywhere from two to five years).

In response to the question of whether there is specific budget guidance relating to training budgets, only a few organizations indicated there is such guidance. For the most part, training is expected to be included in program esitmates--again with the exceptions of the specifically earmarked programs such as Executive Development and Upward Mobility. At least three bureaus, however, do list specific criteria for training budget estimates.

The study indicates that budgets for training fare better when they are reviewed by top management than other separate budget items. Six agencies and eight bureaus state that this is the case. No organization reported that top management treated training requests worse than other budget items; three bureaus reported that it got "about the same" treatment as other budget items.

Because training is usually not separately identified in the budgets that go forward to OMB and the Congress, most agencies and bureaus could not say that training budget requests were turned down because of the absence of budget ceilings. One agency stated that its 1974 request for Executive Development funds were turned down, except for a small amount at the Secretary's Office.

Several organizations reported that requests had gone forward to OMB on an "over-ceiling" basis and that they had been successful in securing additional funds. One bureau, for instance, states that it routinely requests over-ceiling funds for training, and that its record of getting partial restoration is good. Another agency submitted its Upward Mobility budget separately in 1971 and received substantially what it had requested.

Two bureaus with well-developed over-all training programs categorized training funds according to priority. One bureau designates training requests as Category I and Category II. Category I is "must" training, directly related to job requirements. Funds for "must" training may not be reprogrammed without permission at the highest levels within the organization. Category II training is "discretionary," and funds for such training are treated much more flexibly. Another bureau maintains four priority classifications of training--ranging from "job required" to "desirable." "Job required" training funds are practically untouchable. "Desirable" training funds are obviously subject to reprogramming.

LONG-RANGE TRAINING PLANS AND BUDGET SUBMISSIONS

For most agencies and bureaus, long-range training plans are limited to specifically emphasized programs (Executive Development and Upward Mobility) or to those where development and training is essential to carrying the program out properly. Several agencies are now in the process of considering developing long-range plans for incorporation into their budget planning.

Several agencies and bureaus treat their training long-range plans as by-products of over-all manpower planning.

In two instances, long-range plans for training were reported as being developed and reviewed but not incorporated in the budget process.

The over-all conclusion of the study, however, is that long-range training plans are the exception rather than the rule, although several agencies and bureaus (as noted previously) indicate that they are moving in the direction of long-range planning for training, and several of those with long-range plans reported that they had begun the planning process relatively recently.

Where planning on a longer-range base is being undertaken, it is being done primarily by the training staff either within personnel offices (the usual case), or as training offices separate from personnel offices.

The study also indicates that agencies and bureaus with long-range training plans have, in most instances, discussed them with the Congress and OMB, with apparently favorable results.

ATTITUDES OF BUDGET REVIEW BODIES TO TRAINING BUDGETS

According to the agencies and bureaus contacted, the atmosphere toward training in the Office of Management and Budget and in appropriations committees of Congress is almost entirely favorable. In only one instance did Congress in recent years criticize requests for training and make a cut which could be related to the training request. Two

or three of the budget representatives of the agencies interviewed complained mildly that this favorable atmosphere did not necessarily translate itself into approval of funds requested.

In only one instance was there a specific mention of action taken by a Congressional appropriations committee on the training budget separately and that action was favorable (approval of an agency's request for Upward Mobility training).

The general consensus is that, so far as the reviewing bodies in the Federal Government are concerned, funds requested for training fare better than those for most other activities.

The dollar amounts reported by the relatively few agencies and bureaus who could furnish this type of information support the general conclusions. One agency reports no change in fiscal year 1972 in amounts originally requested from OMB for training and amounts in final appropriation passed by Congress. Another agency reports the same experience for the two bureaus who have the necessary information. A third in its 1972 budget preserved funds for training, even though its total budget was cut by some 3%. Other agencies and bureaus report training reductions exactly proportional to manpower cuts to which training requests are tied.

CHANGES IN AMOUNTS PLANNED FOR TRAINING AS THE RESULT OF INTERNAL REPROGRAMMING

More than half the agencies and bureaus contacted in the course of the study report that their fiscal records do not provide information

on amounts obligated for training as a basis for comparison with amounts budgeted for training.

Of the agencies and bureaus providing such information, most indicated either that there was little or no change in the two amounts, or that there were increases in amounts obligated for training. One agency reported that in 1971, for example, the funds for training were increased by $105,000, reprogrammed from other sources within the Administrative Operating Fund, in order to cover costs of setting up two training centers.

On the other hand, several agencies and bureaus indicate that, while exact amounts are not always available, funds budgeted for training are in a "swing" category, and when it has been necessary to reprogram funds for other purposes, training budgets are a logical source. Conversely, when funds are available, it is possible to supplement training resources.

RESEARCH STUDY ON FEDERAL BUDGETING PRACTICES
AS THEY RELATE TO THE TRAINING OF CIVILIAN EMPLOYEES

Questionnaire

(To be used in conjunction with personal interviews)

Department _____ Date _____

Subdivision _____

Person (or persons) interviewed: _____

_____

_____

I. Background information

A. What is the source of funds for training of civilian employees?

1. Operating appropriation
2. Reimbursements from other appropriations
3. Reimbursements from accounts within the same appropriation
4. Other

B. At what level is there a "line item" for training?

1. Appropriation activity schedule
2. Sub-activity within funds earmarked for personnel administration
3. Sub-activity within program activities
4. No "line item" for training
5. Other

C. How does top management in your organization go about making resource allocation decisions?

1. Principal official decides based on hearing with subordinates and on advice from budget officer or other staff personnel

2. Budget Review or Program Review Committee (Who chairs)

3. Other (describe)

D. Where is the principal staff work done for top management budget decisions?

1. Budget office

2. Program analysis (or program review) office

3. Other (describe)

E. When is resource decision-making mechanism activated?

1. When annual budgets are decided upon (Summer or Fall of each year)

2. When funds are programmed at beginning of fiscal year

3. When there are major re-programmings:

   a. Internally initiated

   b. Required by reason of Presidential cuts

4. Other

F. Is the same breakdown of information used for all of above processes? If not, what are the differences as they affect the training item?

G. To what extent does the personnel office initiate or support requests for training funds?

1. Initiate

2. Support other requests

II. Attention Given to Training by Top Management

A. Does the budget process result in the training item being looked at as a separate budget item by top management?

B. If so, is it looked at as part of a long-range training plan?

C. Is there a stated position on training by your organization that is explicitly considered by budget decision-makers?

D. How has training fared in relationship to other separate budget items considered by top management? (Specific examples and dollar amounts, if possible)

E. Is there a record of specific budget guidance dealing with training?

1. As part of general guidance

2. Special guidance

3. What is record of training budget requests turned down because of absence of budget ceilings

F. Have training requests been included in "over-ceiling" requests to OMB? If so, what is track record on approvals?

III. Long-Range Training Plans and Budget Submissions

A. Are there long-range training plans that are taken into consideration in budget decision-making?

1. If so, who prepares-- What period of time

2. Is there a separate review process for long-range plans

3. What is the history of adherence to plans (Specifics, if possible)

B. To what extent have such long-range plans been discussed by review bodies?

1. With upper echelons of your organization

2. With OMB

3. With Congressional committees:

a. Authorizing committees

b. Appropriations committees

C. What training programs (if any) are included in these long-range training plans?

1. (List each separately and describe briefly)

2. Which, if any, of the above training programs are a part of the total manpower development system of your organization

IV. Consideration of Training Budget Requests by Review Bodies

A. Discussion with upper echelons of your organization

B. With OMB

C. With Congressional committees

For each of above:

1. What was thrust of discussion -- Favorable or unfavorable

2. Was there specific action or comment on training as a budget item

3. What information exists that would give comparative data on how training fared in relation to other budget items

4. Extent of participation by personnel office

V. Factual Information on Uses of Funds Budgeted for Training

A. For either fiscal year 1971 or 1972, what were amounts budgeted for training?

1. Included in submission to OMB

2. Included in Congressional request

3. Included in budget approved by Congress (if separately identifiable)

For each of above:

a. What was the over-all reduction in the appropriation in which the budget item was included

b. What was the reduction in the training item (if specified in the action of the review group)

c. If training item was not dealt with separately, what was the change in the training item based on the cut in the total appropriation, and how was this determined

B. To what extent have there been changes in items budgeted for training as a result of internal re-programmings?

1. How do amounts included in initial financial plans compare with actual obligations (Specifics, if possible)

2. What is the explanation of changes:

a. Decreased because of other budget requirements (At what level were such decisions made)

b. Decreased because of inability or unwillingness to make use of funds budgeted

c. Decreased because of additional cuts made by Executive branch after appropriations were approved (as happened in 1972)

APPENDIX C

Employee Development Specialist Role Study

Outline

I. Introduction

II. Employee development specialist role

A. Current role

1. Government point of view

2. EDS point of view

3. Management point of view

4. Comparison of Government, EDS, and management points of view

B. Proper role

III. Employee development specialist background

A. Educational background

B. Experiential background

I. Introduction

Information for this role study was drawn from sources originating in both the public and private sectors. In the Federal Government, persons whose responsibility it is to administer employee training and development programs are called employee development specialists (EDS's). As might be expected, some of the sources consulted in this study did not employ the use of the term EDS. This is due, in part, to the fact that some of the sources used pre-date the 1958 creation by the Government of the EDS position. An additional factor contributing to the diversity of terms used to refer to positions involving responsibilities similar to those of the EDS is the general lack of agreement on training terminology. However, the terms trainer, training officer, employee development officer, and human resource developer, as used in these sources, refer to persons whose responsibility it is, to one degree or another, to:

> "...consult with management and other officials regarding immediate and long-range manpower and skill needs, plan and initiate training programs and develop training materials to meet these needs, and develop policies and procedures for employee development programs" (U.S. Civil Service Commission, Bureau of Policies and Standards, 1970).

Due to the lack of agreement on training terminology, it seems prudent at this point to define several other terms as they will be used in this report. "Training" includes those planned and highly structured activities designed primarily to achieve specific behavioral outcomes based on pre-specified performance objectives. The activities take place within a specific time frame. Examples are Government and

university classroom training. "Development" includes those planned but loosely structured activities designed primarily to accomplish the work of the organization. The activities take place within a specific time frame and a broad possible range of trainee performance is expected at the end. Development is selected experience which an employee would not be expected to encounter in the routine performance of his assigned duties. Examples are conferences, committees, task forces, rotational assignments, and special projects.

When discussing the various roles of the EDS, the term "learning specialist" will refer to those activities concerned with instruction--the conducting of courses and the designing of training programs (Epstein, 1971). "Administrator" will refer to those activities concerned with planning, executing, coordinating, processing, approving, and classifying courses, arranging for training, assuring training funds, and implementing prodecures. "Consultant" refers to those activities concerned with discussing training-related problems with top management, managers and supervisors, and employees.

The remainder of this report addresses itself to three main questions:

1. What is the current role of the employee development specialist?
2. What is the proper role of the employee development specialist?
3. What are the current views on the desirable educational and experiential backgrounds of the employee development specialist?

II. Employee development specialist role

A. Current role

The Civil Service Commission (CSC) Position Classification Standard for Employee Development Series GS-235 states:

> "This series covers positions that involve planning, administering, supervising, or evaluating a program designed to train and develop employees. This series also covers positions that involve providing guidance, consultation, and staff assistance to management concerning employee training and development matters" (U.S. Civil Service Commission, Bureau of Policies and Standards, 1971).

The CSC Federal Personnel Manual defines the objectives of EDS's as follows:

> Objective. The objective of employee development is to improve the efficiency and economy of agency operations by:
>
> 1. Developing a well-trained work force.
> 2. Assisting employees toward achieving their highest potential usefulness.
> 3. Motivating employees and stimulating a sense of participation (U.S. Civil Service Commission, Federal Personnel Manual, 1966).

Thus, according to CSC publications, the EDS should improve the efficiency and economy of agency operations through planning, administering, and consulting for employee training and development matters.

An examination of some studies on the subject will give some indication of the extent to which the current role of the EDS is similar to the role described in the Government publications quoted above. In his 1967 dissertation, Ackerman discussed the ways in which EDS's perceived their role and organizational location. In general, EDS's perceived that their role should be:

> "...one of providing assistance and advice, etc., to management on employee development and training, determining or aiding in the determination of training needs, administering the employee development program, and specific responsibilities such as evaluating training and arranging for training courses" (Ackerman, 1971).

Over half of the EDS's responding to Ackerman's questionnaire felt that their perception of their proper role was, in fact, their actual role in the every day carrying out of their jobs. Specifically, EDS's were most responsive in the area of "Responsibilities to Management." Under this category, areas considered by EDS's to be most important both for their proper and actual roles were assistance, advice, knowledge and expertise, and counseling and consulting. Also felt to be important were the categories of "General" and "Specific Employee Development Program Responsibilities." Primary functions under these two areas were to develop, coordinate, administer, and plan such programs and to determine or aid in determining training needs, to evaluate training, and to arrange training courses. Ackerman's respondents, then, tended to view themselves essentially as administrators and consultants to management. In a 1953 article published in the Journal of Industrial Training, David F. Reeve came to similar conclusions with respect to the role perception of training directors in business and industry (Ackerman, 1971).

The role of the EDS from the point of view of management was discussed in Jack Epstein's study of 1971. The purpose of Epstein's study was to determine line managers' perceptions and expectations of the operational functions of the EDS in a Government research and development organization. Most managers surveyed in Epstein's study perceived

the EDS as emphasizing his administrative function, as limiting his activities as a learning specialist, and as limiting his efforts as an internal consultant (Epstein, 1971).

A comparison can be made between the responses of EDS's and those of managers with respect to the three roles of learning specialist, administrator, and consultant. Epstein's 1971 study asked each manager responding to choose, from a list of fifteen operational functions, the two which the manager felt to be the most important current functions of the EDS. Each manager was also asked to pick the two operational functions which he felt would be the most important if EDS's were actually fulfilling the manager's idealized conception of the EDS's job. Each function chosen was then assigned by Epstein to one of the three roles. Ackerman compiled similar data, but from the EDS's point of view.

While the participant EDS's and managers responded similarly on the proper role of the EDS, there was some difference of opinion on the question of current role. Around 5% of the responses from each group, EDS's and managers, indicated the learning specialist role as a proper role of the EDS. About half of the responses from each group viewed a proper EDS role as being administrative. Nearly half of the responses from each group viewed as a proper role of an EDS that of a consultant to management.

As stated earlier, most EDS's responding to Ackerman's questionnaire felt that their current role was essentially the same as their proper role. Epstein's managers, however, responded much differently in this respect. First, while just less than half of managers' responses indicated that the EDS should function as an administrator, over 90 percent of the managers' responses indicated that administration was the current role of the EDS. Second, about half of the manager responses viewed the proper role of an EDS as being consultative in nature. However, only 6 percent of manager responses indicated that the role of consultant is the current role of the EDS. Thus, most EDS's surveyed felt that they should be and were concentrating mainly on the roles of administrator and consultant. However, while managers were divided about evenly concerning the importance of the administrative and consultative roles of EDS's, most managers felt that EDS's were currently spending their time in the administrative role and few managers saw EDS's as spending their time in the consultative one.

Additional support for the point of view of managers can be found in a June, 1972, CSC publication, Identifying and Meeting Needs of Personnel Specialists in the Federal Government. The preface states:

> "...personnelists do not view themselves as advisors to management. Rather, they see their jobs and themselves as existing within the organization only to serve a clerical or technician function controlled by narrow rules and regulations, the justification for which they do not know and never question. As a consequence, management's personnel needs are not anticipated; response to management's requests are negative; advice and alternatives are not offered; managers are not educated regarding their own personnel management responsibilities...." (U.S. Civil Service Commission, Bureau of Training, 1972).

It should be pointed out that the differences in opinions between EDS's and managers cited above cannot be attributed in their entirety to differences which may exist between EDS's and managers. Nadler states with respect to the roles of learning specialist, administrator, and consultant, that the "...relative size of each of these components varies with the organization and the individuals involved..." (Nadler, 1970). Ackerman's EDS's were drawn from sixteen Government agencies. Epstein's managers were civilians in a military research and development organization. Even considering this qualification, the studies reviewed above indicate that the EDS may spend more time as an administrator and less as a consultant than would be considered desirable.

The above discussion indicates that EDS's, managers, and the CSC agree that the EDS plays several roles. It is difficult to determine whether the CSC position on the question of the degree to which each role is currently played lies closer to the view of EDS's or that of managers. This is the case because the CSC Position Classification Standard for the GS-235 position does not indicate the extent to which the EDS should emphasize any one role.

B. Proper role

As the above discussion implies, there is an increasing amount of attention being given to the subject of the EDS as a consultant. Actually, there has been support for this position for some time. In 1940, Stephens discussed the consultative role of the training specialist in a booklet written for the Society of Personnel Administration. He referred to

Executive Order 7916 which assigned to the CSC certain functions with respect to training. Among the responsibilities listed was that to consult with Directors of Personnel on matters of training (Stephens, 1940).

In 1943 the CSC compiled descriptions of the duties of training officers from a sample of one hundred classification sheets. One of the sixteen categories of duties to come out of the study was: "To consult with operating officials to determine training needs and assist them in the analysis of these needs" (U. S. Civil Service Commission, 1943). It is interesting to note that the list of various aspects of the consulting function is thirty-eight items in length. This is more than twice as many items as are listed in any of the other fifteen categories.

David Reeve, in his 1953 article for the Journal of Industrial Training, listed in rank order the duties of training directors. This order of duties, derived from the responses of training directors in business and industry, indicated that those training directors surveyed considered their role to be that of a consultant to management (Epstein, 1971). In his 1967 dissertation, Ackerman wrote that he felt the role of consultant to management to be a meaningful role (Ackerman, 1971). The 1968 Qualifications Standards for Classification Act Positions states that: "Employee development specialists consult with management

and other officials regarding immediate and long-range manpower and skill needs..." (U. S. Civil Service Commission, Bureau of Policies and Standards, 1970). In his 1971 study on the question of the role of the EDS, Epstein concludes that managers "...perceived the EDS as performing the internal consultant function in a very limited manner, but expected him to greatly increase his efforts in this role" (Epstein, 1971). As was mentioned earlier, the 1971 Position Classification Standard of the CSC for the GS-235 position states that the series "...covers positions that involve providing guidance, consultation and staff assistance to management concerning employee training and development matters" (U. S. Civil Service Commission, Bureau of Policies and Standards, 1971). Chester Wright and Ruth Salinger of the Office of Evaluation and Management Systems of CSC's Bureau of Training stated in their article, "The Trainer as a Professional Manager," that "we would expect more and more to see the trainer moving out of the classroom and performing as a consultant in those areas where problems can be solved through training or development programs" (Wright and Salinger, 1973).

So we see that, on the question of the proper roles of the EDS, there is historical and current agreement among EDS's, managers, and the CSC: The consultant role is a proper role for the EDS. The purpose of the above discussion is not to imply that the consultant role is the only proper role for the EDS. And, in fact, as we discussed in the

previous section, there is agreement that the EDS should properly be playing three roles. The intention here is to emphasize the continuing and growing importance of the EDS as a consultant to management.

III. Employee development specialist background

A. Educational background

A logical question which arises when discussing the EDS position is: What type of educational and experiential background is necessary if an EDS is to perform effectively? The CSC Position Classification Standard for the GS-235 position states:

> "Positions covered by this series require as their paramount qualifications an understanding of the relationship of employee development and training to management problems and to personnel management objectives, methods, and procedures; analytical ability; and a knowledge of the principles, practices, and techniques of education or training" (U. S. Civil Service Commission, Bureau of Policies and Standards, 1971).

Due to its broad nature, the above statement does not provide us with much substantive or specific information about the most useful background for an EDS. CSC Qualification Standards are slightly more descriptive in that it is clearly stated that an EDS, along with others in the personnel management series, must have "a 4-year course in an accredited college or university leading to a bachelor's degree" or certain experience in place of the college degree (U. S. Civil Service Commission, Bureau of Policies and Standards, 1970). However, the question remains: A four year degree in what? Actually, the problem of lack of specificity in describing desirable educational backgrounds for EDS's has been with

us for some time. In 1940, Stephens discussed at some length the desirable educational background for the training specialist (Stephens, 1940). Again, however, there was little in the way of specific suggestions.

The need for adequate educational programs for the EDS is discussed by both Nadler and Ackerman. The problem seems to be somewhat circular in nature because difficulty in determining educational requirements is caused, in part, by the lack of a well defined role for the EDS. An attempt was made in 1965 by the American Society for Training and Development (ASTD) to describe, with some degree of specificity, the types of educational background which might be helpful to an EDS. Degrees in education, speech, personnel, journalism, and law were considered appropriate. Courses in educational media, psychology, economics, methods of research and measurement, industrial relations and labor relations were considered very appropriate (American Society for Training and Development, 1965).

In view of the lack of specific guidelines with respect to the desirable educational background for the EDS, it will be interesting to examine actual educational experiences of EDS's. We can look at data from three different sources. The first source is CSC's Bureau of Executive Manpower, which operates an Executive Assignment System (EAS). In this system GS-15's and above, on a voluntary basis, submit educational

and other background information to a computer data bank in order to facilitate the matching of abilities with job vacancies (U. S. Civil Service Commission, Bureau of Executive Manpower, 1967). The second source is CSC's Bureau of Recruiting and Examining, which has a similar computerized matching system for GS-11's through GS-14's. This is called the Federal Automated Career System (FACS) (U. S. Civil Service Commission, Bureau of Recruiting and Examining, 1971). The third source is a 1965 survey of EDS's, grades GS-5 through GS-15, carried out by CSC's Bureau of Policies and Standards (Ackerman, 1971). Table I displays the primary undergraduate and graduate majors of EDS's.

Table I: Educational Background of Employee Development Specialists

Degree	Major	EAS[1] (GS-15+)	FACS[2] (GS-11-14)	'65 Survey (GS-5-15)
B.A.	Education	18%	29%	28%
	Business Administration	10%	8%	16%
	Political Science and Government	17%	7%	6%
Graduate (M.A.) (Ph.D.)	Education	18%	42%	54%
	Public Administration	18%	10%	11%
	Political Science and Government	16%	4%	3%

[1] As of July, 1972.

[2] As of March, 1973.

B. Experiential background

As is the case in most professions, educational background alone is not sufficient preparation for satisfactory fulfillment of job responsibilities. Actual experience is also necessary. A 1954 report of the Committee on Professional Standards of ASTD suggested that trainers could profit from having had prior occupational activities in the following areas:

1. Experience as an hourly rate worker;
2. Experience in dealing with the public;
3. Experience in handling groups of people;
4. Experience in some form of supervisory capacity (American Society for Training and Development, 1965).

In his 1964 doctoral dissertation on the subject of competencies of trainers, Richard Roberts asked respondents to indicate the value of work experiences on a three level scale. The following types of experiences were rated at the highest level by 50% or more of those trainers responding: Professional work - 84%; conducting workshops - 83%; conducting conference leadership training - 82%; general administration - 78%; educational administration - 76%; supervisor - 71%; foremanship - 64%; and personnel work - 61% (Epstein, 1971).

In June of 1972, the Personnel Management Training Center of the CSC produced a study entitled, Identifying and Meeting Training Needs

of Personnel Specialists in the Federal Government. One aspect of that study dealt with identifying elements essential to the effective performance of personnel specialists. Over 95% of the respondents ranked the following items as being essential elements for the EDS:

1. Ability to deal effectively with other staff and management officials;
2. Ability to express oneself orally and in writing;
3. Ability to find new and better ways of conducting program operations;
4. Ability to recognize training needs (U. S. Civil Service Commission, Bureau of Training, 1972).

Thus, while stated educational requirements for EDS's are not very specific, many current EDS's hold degrees in either education, business administration, public administration, or political science and government. Finally, the literature contains little definitive information with respect to a desirable experiential background for the employee development specialist.

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APPENDIX D

Questionnaires

UNITED STATES

CIVIL SERVICE COMMISSION

BUREAU OF TRAINING

SURVEY

Employee Questionnaire

The attached questionnaire represents an effort of the Bureau of Training to assess the role of formal classroom training offered by the Government, interagency and in-house. Its purpose is to tap those aspects of training that affect you personally and to gather information about your own experience with Federal Government training programs. It is important that we know the strengths as well as the weaknesses of this training and the processes by which it is implemented, and to this end we ask your help. The results of this survey will enable the Civil Service Commission to better meet the needs of the individual through its training function. Do not sign your name to this form. Your responses to our questions will be used solely by the Bureau of Training and are confidential.

_____ I-5

A. 1. Age: __ __ years 6,7

2. Sex (circle one) 1 male 2 female 8

3. Grade and level (circle where appropriate): 9-11

1	2	01	02	03	04	05	06	07	08	09
GS	WB	10	11	12	13	14	15	16	17	18

4. Years employed by the Federal government, to the nearest year (exclude military service): __ __ years. 12,13

5. How many government training courses (other than training required by law) have you taken in each of the following categories during the past 3 years (Do not place one course into more than one category.)?

a) Training to improve your performance in a specific job: __ __ 14,15

b) Training to keep in step with changes in your field, changes in organization, or changes in technology: __ __ 16,17

c) Training for future development for your advancement in the organization: __ __ 18,19

B. Rate the following statements on the extent to which you agree with their assertions. Circle the number in the scale which corresponds to your rating. If the statements do not apply to you, or if you have insufficient information available to make a judgement, circle the 0: not applicable (NA).

1. I am satisfied with the formal government training I have received. 22

1	2	3	4	5	6	7	0
disagree			neutral			agree	NA

2. I would recommend that others in my position take advantage of the formal training programs offered by the government.

1 2 3 4 5 6 7 0 23

disagree neutral agree NA

3. I participated in selecting the courses I attended.

1 2 3 4 5 6 7 0 24

disagree neutral agree NA

4. I am satisfied with the amount of participation I have had in selecting the courses I attended.

1 2 3 4 5 6 7 0 25

disagree neutral agree NA

5. I have been able to attend the courses I planned to attend.

1 2 3 4 5 6 7 0 26

disagree neutral agree NA

6. My supervisor is committed to my training and development.

1 2 3 4 5 6 7 0 27

disagree neutral agree NA

7. Organizational policy promotes my training and development.

1 2 3 4 5 6 7 0 28

disagree neutral agree NA

8. I am receiving the training necessary to do my present job properly.

1	2	3	4	5	6	7	0	29
disagree			neutral			agree	NA	

9. I am receiving the training needed for my future advancement.

1	2	3	4	5	6	7	0	30
disagree			neutral			agree	NA	

10. The purpose of the formal training I have received and will be receiving is clear to me.

1	2	3	4	5	6	7	0	31
disagree			neutral			agree	NA	

11. The counselling I have received from my supervisor concerning my program of formal training is adequate.

1	2	3	4	5	6	7	0	32
disagree			neutral			agree	NA	

12. The government training programs made available at any given time were adequate to fulfill my specific needs.

1	2	3	4	5	6	7	0	33
disagree			neutral			agree	NA	

13. The courses available at any time were adequate to fulfill my more general needs for future development.

1	2	3	4	5	6	7	0	34
disagree			neutral			agree	NA	

14. I receive adequate, timely information about what training opportunities are available. 35

1	2	3	4	5	6	7	0
disagree			neutral			agree	NA

15. The selection of employees for attendance in courses is fair and without bias.

1	2	3	4	5	6	7	0	36
disagree			neutral			agree	NA	

1

UNITED STATES

CIVIL SERVICE COMMISSION

BUREAU OF TRAINING

SURVEY

Supervisor Questionnaire

The attached questionnaire represents an effort of the Bureau of Training to assess the role of formal classroom training offered by the Government, interagency and in-house. Its purpose is to tap those aspects of training that affect you personally and to gather information about your own experience with Federal Government training programs. It is important that we know the strengths as well as the weaknesses of this training and the processes by which it is implemented, and to this end we ask your help. The results of this survey will enable the Civil Service Commission to better meet the needs of the individual through its training function. Do <u>not</u> sign your name to this form. Your responses to our questions will be used solely by the Bureau of Training and are confidential.

_____ I-5

A. 1. Age: __ __ years 6,7

2. Sex (circle one) 1 male 2 female 8

3. Grade and level (circle where appropriate):

1	2	01	02	03	04	05	06	07	08	09	9-11
GS	WB	10	11	12	13	14	15	16	17	18	

4. Years employed by the Federal government, to the nearest year (excluding military service): __ __years. 12,13

5. How many government training courses (other than training required by law) have you taken in each of the following categories during the past 3 years (Do not place one course into more than one category.)?

a) Training to improve your performance in a specific job: __ __ 14,15

b) Training to keep in step with changes in your field, changes in organization, or changes in technology:

__ __ 16,17

c) Training for future development for your advancement in the organization: __ __ 18,19

6. How much contact do you have with trainers in solving problems related to training? Approximately __ __ contacts per year. 20,21

B. Rate the following statements on the extent to which you agree with their assertions. Circle the number in the scale which corresponds to your rating. If the statements do not apply to you, or if you have insufficient information available to make a judgement, circle the 0: not applicable (NA).

1. I am satisfied with the formal government training I have received.

1	2	3	4	5	6	7	0	22
disagree			neutral			agree	NA	

2. I would recommend that others in my position take advantage of the formal training programs offered by the government.

1	2	3	4	5	6	7	0	23
disagree			neutral			agree	NA	

3. I participated in selecting the courses I attended.

1	2	3	4	5	6	7	0	24
disagree			neutral			agree	NA	

4. I am satisfied with the amount of participation I have had in selecting the courses I attended.

1	2	3	4	5	6	7	0	25
disagree			neutral			agree	NA	

5. I have been able to attend the courses I planned to attend.

1	2	3	4	5	6	7	0	26
disagree			neutral			agree	NA	

6. My supervisor is committed to my training and development.

1	2	3	4	5	6	7	0	27
disagree			neutral			agree	NA	

7. Organizational policy promotes my training and development.

1	2	3	4	5	6	7	0	28
disagree			neutral			agree	NA	

8. I am receiving the training necessary to do my present job properly.

1 2 3 4 5 6 7 0 29

disagree neutral agree NA

9. I am receiving the training needed for my future advancement.

1 2 3 4 5 6 7 0 30

disagree neutral agree NA

10. The purpose of the formal training I have received and will be receiving is clear to me.

1 2 3 4 5 6 7 0 31

disagree neutral agree NA

11. The counselling I have received from my supervisor concerning my program of formal training is adequate.

1 2 3 4 5 6 7 0 32

disagree neutral agree NA

12. The government training programs made available at any given time were adequate to fulfill my specific needs.

1 2 3 4 5 6 7 0 33

disagree neutral agree NA

13. The courses available at any time were adequate to fulfill my more general needs for future development.

1 2 3 4 5 6 7 0 34

disagree neutral agree NA

14. I receive adequate, timely information about what training opportunities are available.

1	2	3	4	5	6	7	0	35
disagree			neutral			agree	NA	

15. The selection of employees for attendance in courses is fair and without bias.

1	2	3	4	5	6	7	0	36
disagree			neutral			agree	NA	

16. As a supervisor, I feel that I could do a better job:

a) in the counselling of employees with respect to their training plans.

1	2	3	4	5	6	7	0	37
disagree			neutral			agree	NA	

b) in the selection of employees for formal training.

1	2	3	4	5	6	7	0	38
disagree			neutral			agree	NA	

17. Supervisors in general do a good job:

a) in the counselling of employees with respect to their training plans.

1	2	3	4	5	6	7	0	39
disagree			neutral			agree	NA	

b) in the selection of employees for formal training.

1	2	3	4	5	6	7	0	40
disagree			neutral			agree	NA	

18. The training specialists in my organization are knowledgeable with regard to the specific jobs within my jurisdiction.

1 2 3 4 5 6 7 0 41

disagree neutral agree NA

19. Training specialists are helpful in performing task analyses.

1 2 3 4 5 6 7 0 42

disagree neutral agree NA

20. Training specialists are capable of advising me when a particular problem is solveable through formal training.

1 2 3 4 5 6 7 0 43

disagree neutral agree NA

21. I know what the objective of a particular training course is before it is given.

1 2 3 4 5 6 7 0 44

disagree neutral agree NA

22. The desired objectives of formal training are met successfully.

1 2 3 4 5 6 7 0 45

disagree neutral agree NA

23. The time spent in training by the employees under my jurisdiction is a good investment for the organization.

1 2 3 4 5 6 7 0 46

disagree neutral agree NA

APPENDIX E

Interview Formats

MANAGEMENT INTERVIEW

Name: _____

Title: _____

Organization: _____

(FYI: The questions below are guidelines for interview direction. Begin the interview with question #1 and let the respondent extemporize freely, but be sure that all the questions are answered.)

1. What is the role of the training office in your organization? How do you make use of the training office?

2. How does training enter into the annual planning for your agency?

3. Are you personally involved with planning for formal training?

4. Does an operational training committee exist in your agency? What is the extent of your involvement in it?

5. Is there an ongoing formal career development program?

6. Do you come into contact with trainers for the purpose of solving problems related to training? How often?

7. What do you think of training in general?

EDS INTERVIEW

Name: _____

Title: _____

Organization: _____

Years as Trainer: _____

Highest degree obtained: _____

College major area: _____

College minor area: _____

Graduate area: _____

I. The first thing we need to know is what you as a trainer actually do and what percentage of your time you spend doing different things. It might be easiest to think of your activities in two general categories: First, those things that you do that are related to formal training, like preparing and teaching the actual courses, the administrative details that go with it, and so on; second, the meetings you attend and other contacts that you have in helping others with training problems. What I want to ask you now is about what percentage of your time is spent in each of these two areas, and also, if you spend time doing things that don't fit into either of these categories, we would like to find out about that, too.

Formal training and related: ____%

Problem-solving: ____%

Other (Specify): ____%

II. When you talk to other people in your organization, who do you talk to? Perhaps you can tell us what people you see in general terms, in terms of their job title or function, say, and also why you come into contact with them and how much time you spend talking to them.

Title of P rson	Time Spent	Reason
_____	___per___	_____
_____	___per___	_____
_____	___per___	_____
_____	___per___	_____
_____	___per___	_____

III. Are you a member of a training committee? (Does one exist?)

Yes____ No____ Does not exist____

(FYI: Definition of training committee function is to assist in planning, conducting, and evaluating training matters.)

What is the composition of it?

1. Top management (endorsement): ____
2. Line Management: ____
3. Training Officer: ____
4. Personnel representative: ____
5. Trainers: ____
6. Other (Specify):

(FYI: If 1 and 2 do not exist, the committee in question is not a training committee)

What does your committee do:

IV. I'd like to change the subject just a bit and ask you about the career development programs that might exist in your agency. Let's think about those programs defined as including formal training and work experience to enable the employee to reach his full potential. Is there a formal program like this in your agency?

Yes ____ No ____

What types of jobs do the programs cover?

Do you think the program works? (Why or why not?)

Yes ____ No ____ Specify:

V. Finally, we all know it is important to be familiar with jobs in the organization - not necessarily being able to do them, but being aware of the skills and knowledge required for them. How do you, yourself, find out what these jobs are about. What techniques do you use?

Talking to supervisors: ____ Talking to employees: ____

Observing employees (task analysis): ____

Personal line experience: ____ Other (Specify): _____

_____

How do you use the information you get?

What other techniques do you think might be useful to you?

In general, how else do you go about finding out what training to provide?

Do you have any additional comments on training in general?

Supervisor and Employee
Follow-up Group Interviews

For some time the Commission has been engaged in a large study, the purpose of which is to find out if there are elements within the structure of the Federal personnel system that work against effective employee training and development. Our job is to isolate these disincentives and to find ways to correct them. We have been working on this problem for several months now and are close to the end. We have used many different methods of collecting information. Group interviews such as this are only one of those methods.

Actually we are no longer trying to find out about the whole range of training and development but only about certain specific aspects. Certain outcomes of the analysis of questionnaires which we previously administered puzzle us and we need your help to clear these points up for us.

We are going to ask a number of questions and we would like you to answer as freely and completely as you can. Answer according to your total Government experience unless your current situation is very different from past experience. We will record your responses so that they can be analyzed later. No one will hear these tapes but us. Your privacy will be completely protected. Any questions?

Employees

1. How do you feel about the counseling you are getting for your own training and development needs and plans?

   Who provides this counseling--what is the procedure?

   What would be the effect of additional counseling?

2. Describe any discussion you have had before going to a training course--who was it with, what was covered?

3. How useful have the courses been which you have attended?

4. What do you see as the main purposes of your training and development?

5. How do you think training and development should relate to your future career?

6. What are your supervisor's attitudes toward your training and development?

Does this attitude have any effect on your participation in training and development?

How much training have you had in the past year?

Did you want more?

Why didn't you get more than you did?

Supervisors

About your own training and development

1. How do you feel about the counseling you are getting for your own training and development needs and plans?

   Who provides this counseling--what is the procedure?

   What would be the effect of additional counseling?

2. How do you think the training and development you are receiving now relates to your future assignments?

   How could it be improved?

Supervisors

About your employees' training and development

3. What is the nature of the counseling you provide for your employees concerning their training and development needs and plans?

   What is the procedure?

   How do you think your employees feel about the counseling they're receiving, from any source?

   What additional information and assistance would you like to have--how would you use it?

4. How useful are course announcements in making decisions about sending your employees to training?

5. Do you have any problems in finding courses which meet the specific training needs of your work unit?

6. What do you see as the main purposes of training and development for your employees?

7. How do you know what training and development your employees need for their future work?

What additional information would be useful?

Are any factors discouraging you from carrying out training and development for the future needs of employees?

APPENDIX F

Questionnaire Analysis

The case study questionnaires were of two types, one for employees and one for supervisors (see Appendix D). The first part of both forms asked for background data on age, sex, grade level, years with the Federal Government, and number of training courses taken in the last three years. Supervisors were also asked to record the number of contacts they had per year with agency trainers.

The second half of the questionnaire required the respondents to answer fifteen attitude statements, each on a 7-point scale (with a provision for "not applicable"), concerning their own training experiences. Supervisors had an additional eight questions to answer on training for their employees.

The first computer analysis performed on the questionnaire responses accumulated the basic data requested in the first part of the questionnaire. The results are summarized in Table I, with supervisor and employee records combined unless indicated otherwise. There were 443 employees and 101 supervisors, for a total of 544 people, in our sample.

TABLE I: BACKGROUND DATA

Variable	Range	Mean*	Median*	SD*
Age	18-67 years	38	37	11.6
Sex	Males--54%; females--46%			
GS level	GS2-GS16	GS9	GS9	3.8
Experience (years with government)	0-43 years	12	10	9.0
Training to improve present job performance (during 3 year period)	0-10 courses	1.2 (per 3 yr. period)	1.0	1.5
Training to keep up with state of the art (during 3 year period)	0-10 courses	0.5 (per 3 yr. period)	0.0	1.2
Training for future development (during 3 year period)	0-8 courses	0.6 (per 3 yr. period)	0.0	1.1
For supervisors only,				
Yearly contacts with own agency trainers	0-77 contacts	6.5	2.0	11.4

*All figures are rounded off.

This program also analyzed the responses to the attitude statements, combining supervisors and employees for the first fifteen common questions. It determined for each question the average response on the scale ranging from 1 (disagree) to 7 (agree). Average scores greater than 4 tended toward agreement with each position, while scores below 4 tended toward disagreement. Table 2 contains the mean scores, with their standard deviations, for each statement.

A factor analysis was performed based upon the attitude data obtained from the first computer analysis, moving the attitude questions into clusters according to the underlying concepts that groups of questions had in common. Thus while there were fifteen questions asked of both employees and supervisors, these questions were combined in such a way that four independent factors (concepts, idea clusters) summarized them. Another factor analysis was performed on the eight supervisor-only questions and four independent factors emerged from these eight.* It should be noted that with the factors mathematically determined to be independent, any action we might wish to take to change people's attitudes can be focused on one particular factor at a time. While there might be some inadvertent interaction, the independence of the factors does simplify attempts to influence perceptions.

*The standard computer package used for the factor analysis was DATATEXT, developed by David Armor and Arthur S. Couch.

TABLE 2: EMPLOYEE AND SUPERVISOR ATTITUDES

Statements (employees and supervisors)	Mean	SD
I am satisfied with the formal government training I have received.	4.48	2.03
I would recommend that others in my position take advantage of the formal training programs offered by the government.	6.04	1.46
I participated in selecting the courses I attended.	5.19	2.24
I am satisfied with the amount of participation I have had in selecting the courses I attended.	4.78	2.27
I have been able to attend the courses I planned to attend.	4.71	2.36
My supervisor is committed to my training and development.	4.69	2.25
Organizational policy promotes my training and development.	4.08	2.21
I am receiving the training necessary to do my present job properly.	4.48	2.16
I am receiving the training needed for my future advancement.	3.51	2.22
The purpose of the formal training I have received and will be receiving is clear to me.	4.98	2.10
The counseling I have received from my supervisor concerning my program of formal training is adequate.	3.57	2.22
The government training programs made available at any given time were adequate to fulfill my specific needs.	4.21	2.10
The courses available at any time were adequate to fulfill my more general needs for future development.	4.16	2.07

TABLE 2: EMPLOYEE AND SUPERVISOR ATTITUDES (CONT.)

Statements (employees and supervisors)	Mean	SD
I receive adequate, timely information about what training opportunities are available.	4.05	2.33
The selection of employees for attendance in courses is fair and without bias.	4.28	2.24
Statements (supervisors only)		
Supervisors in general do a good job in the counseling of employees with respect to their training plans.	3.88	1.54
Supervisors in general do a good job in the selection of employees for formal training.	4.33	1.69
The training specialists in my organization are knowledgeable with regard to the specific jobs within my jurisdiction.	3.99	1.88
Training specialists are helpful in performing task analyses.	3.86	1.78
Training specialists are capable of advising me when a particular problem is solveable through formal training.	4.21	1.78
I know what the objective of a particular training course is before it is given.	5.45	1.57
The desired objectives of formal training are met successfully.	4.77	1.37
The time spent in training by the employees under my jurisdiction is a good investment for the organization.	5.99	1.16

These are the four factors identified from the fifteen questions about training experiences answered by employees and supervisors:

Common factors (employees & supervisors)

1. Utility (perceived usefulness of training attended)
2. Choice (participation in and satisfaction with selection of training opportunities)
3. Commitment (perceived sincerity of agency pronouncements and actions concerning training and development)
4. General recommendation (overall attitude toward training and development)

Table 3 lists the rotated factor loadings for the fifteen questions or attitude statements. A statement falls into the factor for which the statement has the highest loading (indicated by the *). The question's loading on a factor indicates the degree to which the statement contributes to that factor.

A similar analysis of the eight questions answered by supervisors was performed, with these four factors identified:

Supervisor factors

1. Supervisory adequacy (competency to effectively advise employees concerning training and development)
2. Training specialists (overall performance of their EDS's)
3. Course objectives (clearness and completeness of objectives of courses to which they send employees)
4. Good investment (perception of benefit to organization of training)

TABLE 3: ROTATED FACTOR LOADINGS

Statements (employees & supervisors)	FACTORS Utility	Choice	Commit-ment	Gen. recomm.
I am satisfied with the formal government training I have received.	0.546*	0.358	0.328	-0.278
I would recommend that others in my position take advantage of the formal training programs offered by the government.	0.198	0.069	0.101	-0.888*
I participated in selecting the courses I attended.	0.040	0.853*	0.142	-0.204
I am satisfied with the amount of participation I have had in selecting the courses I attended.	0.239	0.853*	0.193	-0.025
I have been able to attend the courses I planned to attend.	0.313	0.639*	0.162	0.149
My supervisor is committed to my training and development.	0.122	0.153	0.820*	-0.167
Organizational policy promotes my training and development.	0.267	0.209	0.731*	-0.120
I am receiving the training necessary to do my present job properly.	0.661*	0.075	0.372	-0.026
I am receiving the training needed for my future advancement.	0.554*	0.152	0.501	-0.054
The purpose of the formal training I have received and will be receiving is clear to me.	0.574*	0.243	0.299	-0.161
The counseling I have received from my supervisor concerning my program of formal training is adequate.	0.365	0.121	0.702*	-0.070
The government training programs made available at any given time were adequate to fulfill my specific needs.	0.793*	0.168	0.202	-0.108

TABLE 3: ROTATED FACTOR LOADINGS (CONT.)

Statements (employees & supervisors)	FACTORS Utility	Choice	Commit-ment	Gen. recomm.
The courses available at any time were adequate to fulfill my more general needs for future development.	0.775*	0.173	0.150	-0.120
I receive adequate, timely information about what training opportunities are available.	0.375	0.175	0.497*	0.200
The selection of employees for attendance in courses is fair and without bias.	0.490*	0.160	0.501*	0.169

Rotated factor loadings for the supervisory questions are found in Table 4.

Given the four different areas of concern to both employees and supervisors, as identified by the first factor analysis, a multivariate analysis of variance was performed.* The purpose of this analysis was to look at the effects of certain dimensions (independent variables) on the factors (dependent variables). These dimensions were the position of the respondent (employee or supervisor), GS level, sex, and agency. In addition, for each analysis of variance performed, an analysis of covariance was also performed, with age and experience as the covariates.

The multivariate analysis of variance identified significant differences** along the employee/supervisor dimension for two factors: utility and commitment. The analysis showed that employees perceive the usefulness of their training and the organization's commitment to their training in a much more negative light than do supervisors about their own training. If we look at the specific questions contributing to each factor, training available for future advancement (utility factor) has a comparatively low mean, as does counseling on formal training programs (commitment factor). These then are particularly negatively-rated by employees.

*The standard computer package used for the multivariate analysis was from the Biometric Laboratory, University of North Carolina.

**Significance was taken to be $p = .05$ or better on the F tests.

TABLE 4: ROTATED FACTOR LOADINGS

Statements (supervisors)	FACTORS			
	Superv. adeq.	EDS's	Course obj.	Good invest.
Supervisors in general do a good job in the counseling of employees with respect to their training plans.	-0.894*	0.198	0.022	0.059
Supervisors in general do a good job in the selection of employees for formal training.	-0.915*	0.067	0.080	0.034
The training specialists in my organization are knowledgeable with regard to the specific jobs within my jurisdiction.	-0.060	0.807*	0.246	0.147
Training specialists are helpful in performing task analyses.	-0.132	0.914*	0.198	-0.029
Training specialists are capable of advising me when a particular problem is solveable through formal training.	-0.161	0.861*	0.145	0.055
I know what the objective of a particular training course is before it is given.	0.062	0.178	0.881*	0.100
The desired objectives of formal training are met successfully.	-0.212	0.312	0.763*	0.112
The time spent in training by the employees under my jurisdiction is a good investment for the organization.	-0.073	0.089	0.157	0.979*

There were no significant differences found in the analysis of the effect of GS level on the factors, so that this more finely divided grade level dimension is not as crucial as the dichotomy employee/supervisor.

The dimension sex has a significant effect on the factor choice, with women feeling they have more choice than men.

Considering effects by agency only, the analysis showed significant differences among agencies in commitment and in choice--useful information for the specific agencies concerned but not for comprehensive conclusions on disincentives problems.

Finally, when the effects of the covariates age and experience were taken into consideration, it was found that they accounted for none of the major differences identified in the relationships between each independent variable (divisions of the sample) and the dependent variables (factors). People were thus not responding as a function of their experience and age; as people became older and accumulated more years of government service, they scored the items no differently than anyone else.

In the multivariate analysis of variance for the supervisory factors, the three agencies differed on two factors: training specialists and supervisory adequacy. One agency is significantly more dissatisfied than the other two with the performance of their trainers. Two agencies are much more negatively disposed than the third toward their supervisors concerning the advice supervisors provide to employees on training.

Other multivariate analyses on the supervisory factors were not performed either because they would have been inappropriate or because there were insufficient data.